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ABSTRACT

The cost and funding studies project of the proposed Western Interstate Bibliographic Network began activities in July 1975. Major activities during the third quarter included: (1) renaming of the program to Western Interstate Library Coordinating Organization (WILCO) to reflect the facilitating and coordinating role anticipated for the entire program; and (2) commencement of the Survey of Costs in Technical Processing and Interlibrary Loan, involving cost data collected in 100 libraries in 17 western states and British Columbia. The appendices which form the bulk of the report contain the program outline, definitions of sample strata for the Survey of Present Library Costs, analysis of the sample and response rate, and case study data collection activity sheets. (KP)

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THIRD QUARTERLY REPORT

Project No. 475AH50102

Grant No. G 00 7500741

# COST AND FUNDING STUDIES OF THE PROPOSED WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

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USOE QUARTERLY REPORT

For the Period

January 1, 1976 to March 31, 1976

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## I. INTRODUCTION

The following report is a summary of the cost and funding studies supportive of the related investigations into the development and implementation of western interstate bibliographic network capabilities presently being conducted by the Western Interstate Commission for Higher Education (WICHE), under Grant No. G 00 7500741 from the U.S. Office of Education (USOE). This report covers the activities during the third quarter of this project, January 1976 through April 1976.

In order to acquaint the reader with the objectives of these studies, the goals of the project, as stated in the proposal and as interpreted by the project staff, are summarized as follows:

A. To determine representative costs of library services without network support: Examination of costs in technical processing and interlibrary loan as collected in 100 libraries (state, academic, and public) will be used to develop cost estimates of current services for planning purposes. In addition, twelve case studies will yield detailed cost information on processing and ILL activities.

B. To estimate the cost of network services: This aspect of the study is intimately connected with the Council of Library Resources project, initiating the design and development of a western interstate bibliographic network, currently underway at WICHE, which addresses the current and long-range network needs and resources in the West. Tasks included within this goal are the examination of service costs and the development of cost models for future network service alternatives.

C. To examine and recommend equitable programs of financial support for interstate bibliographic network capabilities in the West: Based upon the eventual character of the still evolving network of products, services and organizations within the West, provide decision-makers within the library community (consumers of network services) with guidance on funding issues and alternatives, and assistance in assessing various network services.

These studies are being conducted concurrently with the network design and development study funded by the Council on Library Resources. Much of the endeavor is common to both projects. For this reason, the reader is urged to refer to the quarterly reports of the CLR project for additional information.

Previous quarterly reports of the cost and funding studies summarized sampling approaches and methodology, planning data collection from the

seventeen Western states and British Columbia, analysis plans, survey data collection methodology, data processing, and survey instrument design. For background, the reader should consult earlier quarterly reports of these studies.

## II. PROJECT MANAGEMENT AND STAFFING

Ms. Maryann Duggan, director of the WICHE Continuing Education and Library Programs announced her retirement as of July 15, 1976. Effective May 1, 1976, Ms. Eleanor Montague, project director of this grant and its sister project on network development funded by CLR, officially assumed the duties of Program Director. Ms. Montague will be responsible for all of the duties formerly performed by Ms. Duggan, including the function of principal investigator for this, and the CLR, project.

During this quarter, Ms. Duggan devoted 25% of her time, and Ms. Montague, 10% of her time, to this project, primarily in project review, planning, and administration. Ms. Maryann Kevin Brown, the cost and funding analyst for this project, spent 100% of her time on project tasks, including site visits to the twelve case studies; data collection at the Pacific Northwest Bibliographic Center (PNBC); analysis of PNBC data; securing adequate response to survey invitations; and planning analysis methodology. Ms. Anita McHugh, research assistant for these studies, devoted .5 FTE to sampling, programming, quality control and follow-up for the survey questionnaire; issuance of questionnaires; assisting libraries in completing the questionnaire; and supervising the keypunching of the survey data. Due to the demands of the project during this and the forthcoming quarter, Ms. McHugh began devoting .75 FTE to these studies, effective April 16, 1976. Secretarial support for the project was provided by Ms. Louise Martin, who devoted 10% of her time. She will leave the project August 1, 1976 to attend graduate school at Indiana University.

The new name taken by the WICHE Continuing Education and Library Resources Program represented a milestone of this quarter. The program is now named WILCO -- Western Interstate Library Coordinating Organization. WILCO is the general name for the integrated WICHE program, encompassing continuing education, resource sharing, and library and information science research. WILCO will be used to refer to all program areas of the integrated WICHE Library Program. Thus, WILCO will be used in place of the term "Western Network" that has been used recently in reference to part of the total program -- the two grant projects funded by CLR and USOE. The new name clearly reflects the facilitating and coordinating role anticipated for the WICHE program. The WILCO program combining education, research and network coordination, will be restructured during the coming fiscal year to optimally meet the needs of the Western states and further the research and operational goals of the organization. WILCO is governed and funded by the Western Council of member state librarians. WILCO represents a unique platform for coordinating, facilitating, communicating, and experimenting in the West, providing the region with an objective clearinghouse for information and a staff skilled in addressing resource sharing, continuing education, and cooperative planning problems.

## III. PROJECT ACTIVITIES AND MAJOR FINDINGS

The major impetus of this quarter was the commencement of the Survey of Costs in Technical Processing and Interlibrary Loan involving cost data collection in 100 libraries in the 17 western states and British Columbia. Requisite to this survey was the final approval of the data collection instruments and the sample selection. Twelve of the 100 participants have been invited and have agreed to participate in an in-depth analysis of technical processing and interlibrary loan costs. Examination of costs incurred at the three bibliographic centers in the West -- the Bibliographical Center for Research (BCR), the California State Library Union Catalog (CSLUC) and the Pacific Northwest Bibliographic Center (PNBC) -- continued with a thorough examination of cost data collected from PNBC. Further criteria were established as foci of the funding issues to be addressed by these studies.

### A. PROJECT PLANNING AND SCHEDULING

Project staff over this quarter, and previous quarters, have continually reviewed and revised project scheduling to optimally meet the proposed objectives of these studies. Priorities have been adjusted as necessary to meet project goals and to be consistent with the schedule of cooperating organizations. For example, the evaluation of the Pacific Northwest Biblicgraphic Center was conducted in advance of our original schedule in order to collect data which the PNBC Board of Directors believed necessary for policy decisions which were under consideration. In addition, site visits conducted of the 12 case studies were scheduled according to the individual calendars of the twelve libraries. Changes in schedule also reflect delays in certain project activities. Securing 100 libraries to participate in the Survey of Costs in Technical Processing and Interlibrary Loan has extended beyond our original time estimates. For this reason, analysis of the survey data and case study data is expected to be completed during the coming quarter.

In order to focus on the status of the project, and the necessary work to be completed to achieve the expressed goals of these studies, a program for completing the current Cost and Funding (USOE) project was formulated. A summary of this program appears in Appendix A. A set of ten products is planned as the necessary outcome for successful completion of the specified project goals. These are:

1. A bibliography of existing cost data and methodology.
2. The ten data collection instruments for the Survey of Costs in Technical Processing and Interlibrary Loan
3. The sample design and procedures employed in the sampling for the Survey of Costs in Technical Processing and Interlibrary Loan.
4. Programs and documentation of the costing analysis used for the Survey of Costs in Technical Processing and Interlibrary Loan.
5. Summary of present costs in technical processing and interlibrary loan for the seventeen Western states and British Columbia.

6. Summary of costs at the three bibliographic centers -- BCR, PNBC and CSLUC -- and the two automated systems -- BALLOTS and the Washington Library Network (WLN).
7. A research paper on cost models to estimate alternative network costs to the suppliers of potential network services.
8. A research paper on funding policy alternatives and evaluation of potential funding structures, documenting current policies, economic theory, issues of funding, and addressing the funding alternatives available to the West.
9. A research paper assessing alternatives for network services, providing the mechanism, and considerations to be examined, by libraries and institutions (consumers).
10. The final report of the Cost and Funding Studies.

Included in the Program plan is the schedule for completing these products. The reader should note that in outlining this program there is a clear distinction drawn between the various audiences to which this project is directed: The consumer, the funder, the producer, and supplier. Throughout these studies, there has been a significant attempt to address the diverse needs for, and varying impact of, network services upon each.

## B. SAMPLE SELECTION AND SURVEY PARTICIPATION

The Survey of Costs in Technical Processing and Interlibrary Loan represents a fundamental step toward the determination of present library costs without network support (Goal A). The survey is predicated upon a sample of 100 libraries (academic, public, and state) from the 17 western states and British Columbia. The random stratified probability sample employed for the selection of these libraries was designed by Mr. Vernon E. Palmour of the Public Research Institute. The original selection of libraries followed the outlined scheme below:

| Type of Library | Sample Size | Number of Case Studies |
|---|---|---|
| Academic Libraries | | |
| Large (over 900,000 vols.) | 20 | 2 |
| Other | 21 | 3 |
| Public Libraries | | |
| Large | 10 | 1 |
| Other Regional | 10 | 2 |
| Other | 22 | 2 |
| State Libraries | 17 | 2 |
| TOTAL | 100 | 12 |

As discussed in the second quarterly report of this project, this sampling approach was agreed upon only after thorough evaluations and discussion of alternative sampling methodologies and examination of the desired outcomes of the survey. Each stratum was carefully defined and certain exclusions were necessary. The reader should refer to Appendix B for these definitions.

During the current quarter, a further refinement was made to the sampling formula. The original sample design (outlined in earlier quarterly reports) allocated 18 libraries to the Other Regional Library stratum, rather than the presently allocated 10 libraries. Due to this adjustment of the sample, as well as the unusually large universe size of the Other Public stratum (estimated to be 1,483 libraries), it was concluded that a better appropriation of the case studies would be to decrease the originally specified two case studies in the Large Public Library stratum by one and increase the number of case studies to be selected from the Other Public Library stratum to two.

Additional changes were necessitated during the invitation process. In instances where every library within the stratum was asked to participate (i.e., the large academic and state library strata) in the survey, there were no available replacements within that stratum for libraries declining participation in the survey. Six libraries within these strata (4 large academic libraries and 2 state libraries) were unable to participate. The six positions were, then, reallocated across other strata. These were evenly divided between academic and public libraries to maintain the even balance of the original sample. The revised sample appears as follows:

| TYPE OF LIBRARY | SAMPLE SIZE |
|---|---|
| Academic | |
| Large | 16 |
| Other | 26 |
| Public | |
| Large | 11 |
| Other Regional | 10 |
| Other | 22 |
| State | 15 |
| TOTAL | 100 |

The increase of the Large Public cell from 10, as proposed, to 11 occurred as a result of over-selection to insure a complement of 100 libraries in the sample. This does not in any way jeopardize the validity of the sample, but does change the allocation of selected libraries across the three public library strata.

Invitations were issued to the original sample of 100 libraries on March 1, 1976. Invitation letters, one for survey libraries and one for case studies, appear in Appendix C. The original character of this sample allocated across the 17 western states and British Columbia appears in Table I, Appendix D. Table II, Appendix D, details the response rate to this first invitation according to stratum. As is apparent in this table, affirmative response rates were lowest in the Other Academic and Other Public strata. Reasons given by declining libraries included limited manpower to complete such a survey or limited size which would not be exemplary of the stratum. Further, several declining institutions participated in central processing cooperatives and, thus, believed information necessary for the survey would not be available. As is reflected in Tables III and IV, of Appendix D, several iterations were necessary to achieve a full sample of 100 libraries for participation in the Survey of Costs in Technical Processing and Interlibrary Loan. Some attrition also took place after issuance of the questionnaire. A total of 194 invitations were issued. As of May 20, 58 invitations were outstanding. In order to secure responses, all invited libraries were contacted by telephone, where possible. Additionally, the assistance of the state librarians in many of the western states was solicited. This proved particularly helpful in guaranteeing the participation of the smaller public libraries.

Table V of Appendix D, details the presently constituted sample across the 17 states and British Columbia. A complete list of the participating libraries appears in Appendix C. Starred (*) libraries represent the case studies in the sample. These libraries were selected from the 100 participants based on the following criteria:

- geographical distribution,
- level of automation, and
- extent of manual operations.

Of the original 12 libraries invited to participate as case studies, 10 were able to do so. Two successive iterations were necessary before securing a full complement of 12 libraries.

## C. The Survey of Costs in Technical Processing and Interlibrary Loan

During the third quarter, the questionnaire to be used in the Survey of Costs in Technical Processing and Interlibrary Loan (Form #2) was finalized. This is to be completed by the 88 non-case study libraries. The purpose of the survey instrument was to focus on those gross cost areas which may ultimately be affected by network service support. The instrument was also designed to incorporate data elements that would yield information on patterns of cooperation, regional resources, and the impact of present levels of network development. This survey instrument divided logically into three major parts, representing 10 subdivisions; these are outlined on the following page:

General

I. Structure: An examination of the general structure of the library, including the number of branches and bookmobiles maintained by the library and the library cooperatives to which the participating library may belong.

II. Holdings: Volumes and titles represented in the library's holdings, growth of collection, types of materials held, and participation in a union catalog or list are the focus of this section.

Costs

III. Staff: The subject of this section is staffing patterns and total salary expenditures by the library in technical processing and interlibrary loan, as well as administration.

IV. Processing and Reference Support: An examination of the support services and products which the library uses to increase volumes processed.

V. Equipment, Communications, and Related Supplies: The focus of this section is upon copying equipment and communication equipment, supply and communications costs.

VI. Current Year Budget: A breakdown of the library budget into categories of costs according to the departments which are subjects of this survey, including those costs examined in Sections III, IV, and V, is requested in this section.

Volume Data

VII. Regional Libraries, Regional Resource Centers, and Centralized Processing Agents: This section is directed to those libraries in the survey who provide services to other libraries. Specifically requested are the services provided and the reimbursement the library receives for these services.

VIII. Acquisitions: This section examines the characteristics of the current acquisitions of the library and the corresponding statistics.

IX. Cataloging: The subject of this section is the characteristics of cataloging throughput and the corresponding statistics.

X. Interlibrary Loan: This section pertains to interlibrary loan functions, both borrowing and lending, and the relevant data on interlibrary loan patterns.

This instrument, as well as those mentioned throughout this report, have been reviewed by the Project Evaluator, Mr. Ronald Miller, and the Consulting Statisticial, Mr. Vernon E. Palmour of the Public Research Institute. The final version of the questionnaire has been previously submitted to the U.S. Office of Education. Due to its length (25 pages) the instrument does not appear as a part of this report. Twenty to thirty copies have been distributed to library leaders in the West. The availability of the questionnaire has been advertised in the WILCO Newsletter and WILCO presently plans to offer the costing programs, questionnaires, and evaluation as part of its ongoing program.

As of May 20, 25 percent of the questionnaires had been completed and returned. From these completed questionnaires, those data elements which would necessarily need revision in the event the questionnaire was refielded have been detected. Primary difficulties occurred in holdings counts, the determination of FTE (full-time equivalencies), allocations of staff across functional areas (e.g., acquisitions, cataloging, etc.) and consideration of regional support given by state and regional libraries to which the questionnaire is addressed. Without a customized data collection instrument directed to an individual library, local peculiarities are not adequately addressed. This shortcoming is inherent in any instrument designed for survey use. In the instrument design, one of the major concerns was to maintain an adequate balance between specificity and universality. Due to the varying characteristics, and the diverse procedures of each of the libraries participating in the survey, addressing each and every unique operational area would be impossible. However, we have attempted to address those particular issues that might affect cost. One should keep in mind the importance of maintaining comparability in a survey of this size. However, this insistence upon uniformity of data elements, overlooks the wide variances in operations a particular library may have. We were able to accommodate wider ranges of variances in the cast studies because of the separate analysis each library will receive.

In future use of the questionnaire, WILCO intends to revise and correct those difficulties which are soluble. Additionally, by tailoring the questionnaire for a particular stratum or a particular segment of the library universe, certain of the drawbacks presented by survey use are avoided. A subsidiary benefit of the questionnaire was the change in statistics-keeping by several participating libraries who determined data presently collected was inadequate and that the survey had provided them with some valuable insights into data requirements.

In designing the questionnaire, utmost consideration was given to maintaining consistency with other library data collection endeavors. Thus, the questionnaires used by the Library General Information Survey (LIBGIS) and the Higher Education General Information Survey (HEGIS), as well as the data presently collected by the state agencies of the West, were scrutinized for possible utilization. Wherever possible, conformity to the data elements used by these agencies was preserved. Discrepancies occured only where it was necessary to gather a different type of count for estimation of workload and concomitant staffing requirements.

Analysis output tables for the Survey of Costs in Technical Processing and Interlibrary Loan have been finalized from the data collected via the survey; the following types of information will be derived:

a. Holdings Distribution: by type of holding (i.e. bookstock, periodicals, etc.) showing the average number of titles, volumes and volume-to-title ratio and growth in holdings.

b. Staffing Distribution: by type of employee (i.e. professional librarian, library assistant, etc.) for the entire library, showing average number of FTE, salaries, salary per FTE and fringe benefits.

c. Processing and Reference Support: a list of library functions which are wholly or partially done outside the library (e.g. bibliographic center support for ILL) showing the average annual volume, annual cost and cost per volume.

d. Unique Computer Support: a list of computer systems in use by the 100 survey libraries, showing the cost of development, annual average costs, functions the system handles and the library priority.

e. Equipment and Communications Costs: showing the average annual cost of copying and communications equipment (i.e. Telex, teletype, CRT, telephone, etc.).

f. Budget and Expenditure Patterns: a list of budget categories (i.e. staff, materials, etc.) showing average budget, increase over last year expenditures, and percentage allocated to administration plus the four departments under study.

g. Regional Library Summary: a series of tables showing 1) the types of services provided by regional libraries; 2) the characteristics of interlibrary loan traffic (i.e. filled requests, forwarded requests, etc.); 3) regional catalog size; and 4) the characteristics of reimbursement for regional services.

h. Acquisitions: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing characteristics of ordering (e.g. type of material, standing orders, gifts; retrospective collection development, etc.).

i. Cataloging: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing cataloging patterns, cataloging source information lag time and backlog.

j. Interlibrary Loan: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing 1) average success at filling interlibrary loans; 2) time to fill a loan from various sources (e.g. local source, or a bibliographic center); and 3) characteristics of filled requests

This series of tables and outputs will be used as input to the cost-impact analysis tasks scheduled for the coming quarter. Additionally, the information will provide indicators of resources available, level of in-state network development and extent of resource sharing in the West.

Procedures and computer programs to manipulate the raw data are under development. The OSIRIS (University of Michigan) programs are being used for basic data manipulation. Programs are being written in Fortran to format outputs. Procedures and programs have been generalized and modularized for ease of use in the future by other organizations or libraries.

D. Case Studies in Costs of Technical Processing and Interlibrary Loan

As discussed in Part B of this section, 12 libraries of the 100 selected in the sample were invited to participate in these studies as case studies. There are:

Large Academic Libraries

University of Colorado
University of Nebraska

Other Academic Libraries
Laramie County Community College, Wyoming
Linn-Benton Community College, Oregon
Navajo Community College, Arizona

Large Public Libraries
Seattle Public Library, Washington

Other Regional Libraries
Parmley Billings Library, Montana
Washoe County Library

Other Public Libraries
Clearwater Memorial Library, Idaho
Santa Clara City Library, California

State Libraries
South Dakota State Library
New Mexico State Library

Each case study was required to complete the In-Depth Case Studies of Costs in Technical Processing and Interlibrary Loan questionnaire (Form #3) which is a lengthier version of Form #2 (discussed in Part C) requiring additional detail on building facilities and procedures. Also, each of the 12 case studies is collecting data on staff time and volume throughput in technical processing and interlibrary loan over a three-week period. The instruments used in this data collection are:

Acquisitions Activity Sheet (Form #4): A log sheet maintained by each staff member involved in the acquisition function monitoring the time spent on 29 specified activities and the volume throughput for each activity.

Cataloging Activity Sheet (Form #5): A log sheet maintained by each staff member involved in cataloging functions. Fifteen specific activities and the volume throughput for each are monitored.

Serials Activity Sheet (Form #6): A log sheet to be maintained by staff members involved in the processing of serials. Twelve specific activities and the volume throughput for each are monitored.

Interlibrary Loan Activity Sheet (Form #8): A log sheet to be maintained by staff members involved in ILL activities. Twenty-five activities, divided among borrowing and lending tasks, have been specified for tracking staff time and volume throughput

These activity sheets and the corresponding list of task definitions appear in Appendix E. Due to the length of the background questionnaire (35 pages), we have not included it in this report. However, this questionnaire received the same distribution as that of the Form #2, and its availability has been widely publidized.

Many of the activities were selected for inclusion in these activity sheets due to their likelihood of being impacted by network services. Thus, activities are not comprehensive, but limited to the focus of our study. Within technical processing and ILL the definitions of the activities do not necessarily provide a full scope of the sub-tasks involved in the activity. The sheets are designed to provide a platform upon which each library can base the data collection. The instruments are intended to be as flexible as possible in order to accommodate the local procedures of any library participating as a case study. For this reason adaptations to the instruments were made in the field in order to adequately reflect the activities of the individual library. In this manner, the instrument could be used to accurately portray the staff allocations to processing activities, without requiring staff members of the library to conform to the activities of the instrument. By allowing for this degree of freedom in the use of the activity sheets, we hope to avoid skewing the data collected. Since the analysis of the data submitted by each case study is to be performed separately, we avoid any necessity of having to make the data "uniform" for each institution and, thereby, insure that the unique procedures of any library are not overlooked.

A site visit of each of the case studies was conducted by the Cost and Funding Analyst for this project. The purposes of these site visits were to inform staff of the objectives of the study, resolve beforehand any problems that might arise during data collection, and instruct staff in data collection procedures. The technique of the site visit served

remarkably well in upgrading the quality of the data collected and in diminishing the need for further clarification. Additional benefits of the site visits were accrued to this project. The project was the subject of an article in the local Billings, Montana newspaper during the site visit of the Parmley Billings Library. Further, at each of the 12 libraries, the staff members of technical processing and interlibrary loan were able to suggest potential revisions to the instruments. Certain activities that were not included in the instruments were brought to our attention. For instance, in the Interlibrary Loan Activity Sheet (Form #7) the task of searching the library catalog was inadvertantly omitted. Additionally, many of the library staff felt the categories were too large and should be broken into sub-tasks. There were compliments on the format and on the thoroughness of the activity lists within the instruments. The site visits, thus, provided the project with a clearer awareness of the strengths and weaknesses of the activity sheets and provided directions necessary for future revision.

Eight of the case studies have already completed the three-week data collection interval. These data are presently being reviewed and will be entered into the analysis programs established during the Idaho Pre-Test. In addition to the inclusion of the background information provided by the case studies (which will be utilized in the same manner as the survey data) each case study will represent an individual study of costs. The tables to be a part of the output of these data include:

- Supply and Equipment Overhead: A table showing the various supplies and equipment used for activities within the departments under study and their average cost per FTE staff and/or item processed through the department

- Summary of Overhead Cost: A table displaying the total add-on cost per hour of staff time and per unit processed including the facility overhead, administrative overhead, summary of supply and equipment overhead.

These summary data will act as costing components in the in-depth analysis of each of the case studies. Through the use of activity sheets for the four departments and the information provided on staff costs in the background questionnaire, we will be able to provide a unit time and unit cost profile for the various tasks within each department and a summary of the costs of other, wider functions (e.g., original cataloging versus routine cataloging).

Due to the general nature of the survey of 100 libraries, these data from the case studies will be used to detail expenditures to the sub-activities in cataloging, acquisitions, serials processing and interlibrary loan. From these data, then, a clearer idea of the flow of costs within particular areas of technical processing and ILL can be derived.

Each case study will receive for its participation a stipend of $100 (one hundred dollars). Additionally, the library's profile (which will be developed during analysis) is to be supplied to each case study for planning, costing or management use.

We will be using these data in the future to segregate costs according to the "impactibility" of network services. Activities, such as card production, pre-order searching, etc. will be examined for the potential network impact. These costs will be then weighted according to their impactibility and an attempt to examine the potential costs incurred by utilization of network services in the individual library should yield predictive data for determining the impact of networks upon individual library operations.

E. Survey of Interlibrary Loan Traffic in the West

In addition to the survey of costs, invited libraries were asked to participate in a survey of their interlibrary loan traffic for a three-week period. This was an optional participation for all surveyed libraries, but required of the 12 cast studies. Those libraries participating in this survey are listed in Appendix F. Each of those libraries participating in the survey of interlibrary loan traffic was asked to complete the following forms (which appear in Appendix G):

For Survey Libraries:

Interlibrary Loan Abbreviated Borrowing Transaction (Form #8A)
A single-page tracking document to monitor lag time type of request, queried institution, and disposition of the request for a sample of transactions recieved by patrons for materials owned by another library

Interlibrary Loan Abbreviated Lending Transaction Form (Form #9A)
A one-page document to monitor lag time, type of request, requesting institution, and disposition of request for a sample of transactions received from another library for material believed to be owned by the survey library.

For Case Study Libraries:

Interlibrary Loan Borrowing Transaction Form (Form #8)
An expansion of Form #8A, above, requiring staff time spent on assistance to the patron, bibliographic verification, and locating a lending agency.

Interlibrary Loan Lending Transaction Form (Form #9)
An expansion of Form #9A, above, requiring staff time spent on bibliographic verification and locating the requested material.

For this survey only author/title requests were considered. This exclusion of subject requests from consideration eliminates the difficulty of analyzing broad subject categories, wide date ranges, and multiple document requests. In this manner, we can maintain a control over the consistency of data and comparability of information. For borrowing, we limited our examination to first-pass requests (i.e., the first institution from which

the item is requested), primarily to avoid lengthy delays in completing the survey by monitoring transactions to their final completion. Actual fill rates will be supplied by the background information in the Survey of Costs in Technical Processing and Interlibrary Loan. All forms are to be maintained by the libraries for 30 days past the inception of the request or until completion. Because of the delays in receiving responses from lending libraries, it is suspected many of the borrowing transactions will be pending even after the 30-day holding. Copies of the requests are also being returned with the completed forms. This will enable us to verify the information on the transaction logs and complete any data gaps.

The case studies will supply more information, including staff time devoted to the processing of the request. Only those activities which were expected to yield wide variances in this time according to the type of request are being examined on a per-transaction basis. These are:

Borrowing activities
- Receiving request and assistance to patron;
- bibliographic verification; and
- determine location.

Lending activities
- bibliographic verification;
- checking catalog, locating; and
- checking serials, periodicals catalog/kardex.

The remaining activites in Interlibrary Loan are being monitored within the case studies from the Interlibrary Loan Activity Sheet (Form #7) discussed in Part C. It is believed that, though unit times vary for remaining activities, the type of request will not greatly affect average observed costs or times.

Sampling intervals (i.e., every one, every fifth, every tenth or every twentieth) were determined for each institution according to the expected number of transactions to be initiated during a three-week period. Intervals were established to capture between 50 and 75 transactions each of borrowing and lending. Because we used available state data on interlibrary loan and the data available on the size of the institution to determine these intervals, samples were adjusted when our calculations of the expected number of transactions were not accurate. In these cases, the libraries were instructed to contact us, so that we might establish a new sampling interval. This has been done in about 10 instances.

A limit of 125 transactions each of borrowing and lending has been established. This limit was set to avoid overburdening the staff of the participating libraries, particularly the larger institutions, and restricting incoming data to a manageable amount for analysis. Sampling intervals also appear in Appendix F, as well as procedures.

Several revisions of the definitions employed or procedures were necessary for some of the libraries in the sample. For those academic institutions whose school year ended prior to the commencement of the survey, requests were analyzed retrospectively where the requested data were available.

This occured in four of the institutions participating. Expansion of the definition of first-pass was also necessary for libraries whose ILL policy specified a particular institution to be queried for materials prior to routing the request through normal ILL channels. For libraries which act as switching centers, the definition of borrowing request had to be expanded to include those materials which these libraries borrow for other libraries.

The data being collected for the survey of interlibrary loan traffic will be used to determine:

- volume of interlibrary loan traffic in the West;
- concentric circles of interlibrary loan borrowing and lending patterns in the West;
- the impact upon ILL patterns of bibliographic centers and the present level of network development; and
- availability of location and bibliographic information and the impact of that availability on ILL patterns.

The analysis of these survey data will be performed after the completion of the cost survey data since the ILL data collection extends into the month of June.

F. The Pacific Northwest Bibliographic Center

As a part of these studies, WICHE was charged with an examination of present costs incurred at the three bibliographic centers in the West -- the Pacific Northwest Bibliographic Center (Seattle), the Bibliographical Center for Research (Denver), and the California State Library Union Catalog (Sacramento). During this quarter, the Pacific Northwest Bibliographic Center (PNBC) was studied for cost and interlibrary loan information. The Center provided to this staff invaluable assistance.

During the month of March, 1976, data collection at PNBC was initiated. The purpose of the data collection was to:

- summarize existing cost and statistical data;
- identify and complete any data gaps; and
- examine interlibrary loan traffic patterns.

The preliminary examination of PNBC data included the following sources:

- Operating budgets including detail on expected costs for salaries and fringe benefits, communications, delivery, postate and facility overhead, along with supply and equipment costs;

- Expenditure reports with the same detail as that of the operating budget; and

- Summary of staff costs and time across functional areas of activity within PNBC.

In analysis of costs volunteer time was also examined, using estimated replacement costs. This assisted us in assessing true costs of the bibliographic center. Further information from the Center is forthcoming. This includes capital investment costs in equipment, such as TWX, and the corresponding dates of purchase and predicted replacement dates. Additional time observations taken by PNBC staff after our site visit are also to be incorporated into our analysis.

Since PNBC represents a substantial amount of information on the interlibrary loan traffic patterns of the Pacific Northwest, the examination also included an investigation into transactions and the nature of the union catalog maintained by PNBC. Incoming requests were examined for publication date distribution. A sample of the union catalog was examined for date distribtution, location distribtuion,subject areas, along with locations per entry size of file, cards per entry, etc. Further data is presently being collected on incoming requests to refine the information already gathered.

In assessing the data necessary for the project, we also attempted to present the data that might assist PNBC to formulate funding strategies and evaluate them the existing data.

A preliminary draft report has been submitted to the Director of the Pacific Northwest Bibliographid Center. After this review, we hope to incoporate any changes she might suggest and release the report during the month of June.

G. Related Activities

During the third quarter, the CLR-funded project sponsored its first Steering Committee meeting to examine the directions and priorities of that project. At that meeting, an Executive Board was elected; the members of this Board are:

Vince Anderson, State Librarian, South Dakota
Joanne Arnold, Acting Chancellor, University of Colorado, Boulder
Gerald Rudolph, Director, University of Nebraska Library
Roderick Swarta, State Librarian, Washington
David Weber, Director, Stanford Libraries

During meetings of the Bibliographic center and network directors held by WICHE in Denver on March 2-3, the group suggested the role of the library program could include aiding existing library networks and bibliographic centers in the West by providing a means for interstate and inter-regional communication, coordination, facilitation, and experimentation through activities such as:

- assisting in the development of regional machine-readable data bases
- stimulating exchange of machine-readable records among bilio-graphic centers
- working toward lower telecommunications costs
- assisting in the development of interlibrary loan protocols and equity of funding
- offering a forum for inter-regional network planning

- facilitating access to sources of objective technical expertise
- collecting, analyzing, reporting and maintaining pertinent library planning and development use.

At a joint meeting of the Western Council of State Librarians (the governing countil of the WICHE Continuing Education and Library Resources Program) and the Executive Board, a presentation of the current status and future plans of the Cost and Funding Studies was made. Among further activities of this meeting, the Western Council voted to award matching funds for the presently proposed grant entitled "A Proposal to Develop and Demonstrate A Statistical Data Base System for Library and Network Planning and Evaluation' submitted to the U.S. Office of Education. Most noteworthy of the accomplishments of this two-day meeting was the revamping of the entire library program branch of WICHE into a cohesive set of programs forming the Western Interstate Library Coordinating Organization (WILCO). This new organization promises to strengthen the continuing education activities of the library programs, linking the current CLR and USOE projects to the mainstream of the program and cultivating the programs supportive role of networking in the West, as well as revitalizing the continuing education programs to address the varied needs of the western states. The WILCO program in WICHE is the embodiment of the resource sharing coordinating function assumed as the responsibility of the Western Council of State Librarians. This recognized the key positions of the state librarians as being responsible for both interstate and intrastate cooperation activities.

During this quarter, the second issue of the Western Network Newsletter was published. This newsletter appears in Appendix H and outlined in the issue is a summary of the cost and funding studies.

## IV. PLANS FOR NEXT QUARTER

As outlined in Appendix, Program for Completing The Current Cost and Funding Study (USOE) Project, the final quarter will be devoted to the completion of all phases of the project and the dissemination of all products emanating from these studies.

On June 30 and July 1 of the coming quarter, project staff will be meeting with the Evaluator of the project, Mr. Ronald Miller of NELINET, and with the Consulting Statistician, Mr. Vernon E. Palmour of the Public Research Institute. The purpose of this meeting will be to review the outcomes of this project and assess the products of the studies in light of the objectives. At this time the project's funding consultant (not yet named) will meet with the Evaluator and the Consulting Statistician to examine the current status of the funding study.

During this quarter, analysis of the incoming data from the survey of costs and the interlibrary loan will be completed. A report of the surveys will be issued summarizing the major findings of these surveys. A supplemental report documenting the programs employed in analysis and the analysis methodology will also be prepared during the next quarter.

Data collected from the three bibliographic centers will be summarized into a final report of the costs and interlibrary loan patterns reflected in these centers.

A questionnaire to be submitted to the two automated systems -- BALLOTS and WLN (Washington Library Network) -- will be designed and issued to the systems. It is hoped similar data can be collected from the Ohio College Library Center. This information will then be compiled and combined into our study of costs.

In addition, a research paper on funding, documenting current policies, economic theory, issues of funding, and addressing the funding alterratives available for the West will be prepared and released during the forthcoming quarter. The Funding Consultant for this segment of the Cost and Funding Studies will be responsible for the following:

- assess the existing pattern of networking services support (that is, determine how states and institutions fund network services and then relate how institutions providing network services determine their pricing structure);

- relate the impact of differing service requirements and varying capacities of states and individual libraries for support of such services to the potential funding strucutre of a network;

- evaluate the feasibility of network funding alternatives in light of current trends within federal, state, and local library fiscal support;

- relate this study to other similar studies that have been done over the last three to five years.

On July 17 the Steering Committee for the CLR grant will meet in Chicago. At that time, a presentation detailing the status and outcomes of the Cost and Funding Studies will be made. Additionally, on July 19 at ALA, the Cost and Funding Analyst will make a presentation to the Annual Conference program jointly sponsored by the RTSD Technical Services Cost and Commercial Processing Services Committee. Ms. Brown's presentation, "Costing Methodology: A Look at the Cost and Process -- Alternatives in Different Types of Libraries" will address costing and evaluating processing alternatives in non-research libraries and be based upon much of the work done for this project.

V.

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# APPENDIX A

## PROGRAM FOR COMPLETING THE CURRENT COST AND FUNDING STUDY (USOE) PROJECT

W I L C O

PROGRAM FOR COMPLETING THE CURRENT
COST AND FUNDING STUDY (USOE) PROJECT

## I. INTRODUCTION

The original proposal to the U.S. Office of Education for "Cost and Funding Studies Concerning a Proposed Western Interstate Bibliographic Network" was submitted in January 1975. The proposal was viewed as a companion to the CLR funded proposal for "Initiating the Design and Development of a Western Interstate Bibliographic Network."

The objectives set forth by the proposal to the U.S. Office of Education are to determine: (I) Costs of Present Library Services; (II) Cost of Network Services; and (III) Financial Support Plan for the Network.

The three major parts of the research, divided into eleven tasks, are discussed below, including a description of the task, information to be derived, and products. A proposed schedule to complete the remaining tasks is included in Section VI.

## II. COSTS OF PRESENT LIBRARY SERVICES (Part I)

Examination of costs in technical processing and interlibrary loan as collected in 100 libraries (state, academic and public) will be used to develop cost estimates of current services for planning purposes. In addition, twelve case studies will yield detailed cost information on processing and ILL activities. Specific tasks include:

Task 1: Collect and review existing cost data and methodology:

This task (an exhaustive literature review) was completed during the early stages of the project. The resulting bibliography (Product 1) appears in the First Quarterly Report of the project. In addition, unpublished reports and internal studies were reviewed for potential value to that study. Relevant concepts were incorporated into succeeding design tasks.

Task 2: Develop costing methodology for survey of western libraries:

(A) Ten data collection instruments (Product 2) were designed to determine present costs of library operations and to investigate interlibrary loan patterns in the western states.

Form No. 2: SURVEY OF COSTS IN TECHNICAL PROCESSING AND INTERLIBRARY LOAN. This form is designed to gather gross costing data within acquisitions, cataloging, serials, materials finishing and interlibrary loan. In addition, certain aspects of staffing patterns, processing support and interlibrary loan patterns are examined.

Form No. 3: IN-DEPTH CASE STUDY OF COSTS IN TECHNICAL PROCESSING AND INTERLIBRARY LOAN. This form is an expansion of Form No. 2 above, which captures additional costing components such as facility and administrative overhead, as well as costing information necessary for the three-week data collection in technical processing and interlibrary loan to be performed during the study.

Form No. 4: ACQUISITIONS ACTIVITY SHEET. This form is a log sheet to be maintained by each staff member performing acquisitions tasks. Kept on a daily basis, this form monitors the time spent and volume processed in 34 activities. Data will be kept on a three-week interval.

Form No. 5: CATALOGING ACTIVITY SHEET. This is a log sheet to be kept by each staff member associated with cataloging. Maintained on a daily basis, this form monitors 22 specific activities.

Form No. 6: SERIALS ACTIVITY SHEET. This form is also a log sheet to be maintained by each staff member associated with serials processing. Maintained on a daily basis, 18 specific tasks are monitored for staff time and volume processed.

Form No. 7: INTERLIBRARY LOAN ACTIVITY SHEET. This log sheet is to be kept by each staff member associated with interlibrary loan. Kept on a three-week basis, this form monitors 25 specific activities in borrowing and lending functions of ILL.

Form No. 8: INTERLIBRARY LOAN BORROWING TRANSACTION FORM. This is a single-page tracking document to monitor lag time, type of request, queried institution, and disposition of the request for a sample of transactions received by patrons for material owned by another library.

Form No. 8A: INTERLIBRARY LOAN ABBREVIATED BORROWING TRANSACTION FORM. A shorter version of Form No. 8, above, this document does not track staff time, but does capture the remaining elements of disposition, type, etc.

Form No. 9: INTERLIBRARY LOAN LENDING TRANSACTION FORM. A one-page tracking document, this monitors lag time, type of request, requesting institution, and disposition of request for a sample of transactions received from another library for materials believed to be owned by the case study library. In addition, staff time for each request sampled will be kept on bibliographic verification and on locating the requested material.

Form No. 9A: INTERLIBRARY LOAN ABBREVIATED LENDING TRANSACTION FORM. A shortened version of Form No. 9, above, this does not capture staff time on activities for the request, but does capture other information in Form No. 9.

(B) A sample of 100 libraries in five strata was drawn; invitations to participate were mailed and resampling was done as necessary. Procedures, guidelines, problems and rationale for the sample design have been prepared (Product 3). A list of participating libraries is separately available.

(C) From the data collected, the following types of information will be derived:

1) Survey of 100 libraries: The information obtained from Form #2, Survey of Costs in Technical Processing and Interlibrary Loan, will be summarized in the following types of tables:

   a. Holdings Distribution: by type of holding (i.e. bookstock, periodicals, etc.) showing the average number of titles, volumes and volume-to-title ratio and growth in holdings.

   b. Staffing Distribution: by type of employee (i.e. professional librarian, library assistant, etc.) for the entire library, showing average number of FTE, salaries, salary per FTE and fringe benefits.

   c. Processing and Reference Support: a list of library functions which are wholly or partially done outside the library (e.g. bibliographic center support for ILL) showing the average annual volume, annual cost and cost per volume.

   d. Unique Computer Support: a list of computer systems in use by the 100 survey libraries, showing the cost of development, annual average costs, functions the system handles and the library priority.

   e. Equipment and Communications Costs: showing the average annual cost of copying and communications equipment (i.e. Telex, teletype, CRT, telephone, etc.).

   f. Budget and Expenditure Patterns: a list of budget categories (i.e. staff, materials, etc.) showing average budget, increase over last year expenditures, and percentage allocated to administration plus the four departments under study.

   g. Regional Library Summary: a series of tables showing 1) the types of services provided by regional libraries; 2) the characteristics of interlibrary loan traffic (i.e. filled requests, forwarded requests, etc.); 3) regional catalog size; and 4) the characteristics of reimbursement for regional services.

   h. Acquisitions: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing characteristics of ordering (e.g. type of material, standing orders, gifts, retrospective collection development, etc.).

i. Cataloging: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing cataloging patterns, cataloging source information lag time and backlog.

j. Interlibrary Loan: a series of tables including departmental budget patterns and staffing distribution for the entire library plus tables showing 1) average success at filling interlibrary loans; 2) time to fill a loan from various sources (e.g. local source, or a bibliographic center); and 3) characteristics of filled requests.

2) Case Studies: In addition to the above summary which represents core data, the following information can be displayed:

a. Supply and Equipment Overhead: a table showing the various supplies and equipment used for activities within the departments under study and their average cost per FTE staff and/or item processed through the department.

b. Summary of Overhead Cost: a table displaying the total add-on cost per hour of staff time and per unit processed including the facility overhead, administrative overhead, summary of supply and equipment overhead.

3) Individual Case Studies: In addition, for each case study (through the use of activity sheets for the four departments and the information provided on staff costs) we will be able to provide a unit time and unit cost profile for the various tasks within each department plus a summary of the costs of other, wider functions (e.g. original vs. routine cataloging).

Procedures and computer programs to manipulate the raw data (Product 4) are under development. The OSIRIS (Univ. of Michigan) program is being used for basic data manipulation. Programs are being written in Fortran to format outputs. Procedures and programs have been generalized and modularized for ease of use in the future by other organizations or libraries.

Task 3: Visit sample libraries for data collection:

In order to further refine the gross cost data supplied by the surveyed library, twelve libraries are collecting detailed information over a three-week period on staff time and volume throughput. To insure consistent data collection, each of the twelve case studies are to be visited. The purposes of these site visits are to:

- describe the purposes of the study to staff members;

- review the background questionnaire to assure accuracy of the data submitted;
- initiate data collection; and
- determine any factors which would skew data.

The following case study site visits have been conducted:

University of Colorado (April 6, 8 and 14)
Clearwater Memorial Library, Orofino, Idaho (April 12)
Washoe County Library, Reno, Nevada (April 13)
South Dakota State Library, Pierre, S.D. (April 19-20)
University of Nebraska, Lincoln, NB (April 21)
Laramie County Comm. College, Cheyene WY (April 23)
Navajo Community College, Tsaile, AZ (April 26)
New Mexico State Library, Santa Fe (April 27)
Billings Public Library, Montana (April 30)
Linn-Benton Comm. College, Albany OR (May 7)

The following visits are scheduled:

Santa Clara County Library, California (May 20)
Seattle Public Library, Washington (May 26)

Task 4: Develop cost estimates for current services:

Using the programs and methodology discussed under Task 2, a series of cost estimates will be produced for technical processing and interlibrary loan by sample strata and for the West. The product of this endeavor (Product 5) will be a compilation of cost data according to the above output tables. Additionally, investigation into the effect upon costs and staffing patterns of processing support services which could conceivably be forecasted as "network" services will be conducted.

III. COST OF NETWORK SERVICES (Part II)

This aspect of the study is intimately connected to major CLR project tasks aimed at determining network needs and resources in the West. The CLR project will be addressing current and long-range network needs while these studies will examine existing network service costs and will develop cost models for future network service alternatives.

Task 5: Review existing cost data for manual bibliographic centers and automated systems:

The two automated systems (Washington Library Network and BALLOTS) will be asked to supply all costing information presently available, along with budgeting data, pricing policy and structure. Further, it is hoped that similar information will be provided by the Ohio College Library Center.

The three bibliographic centers (Pacific Northwest Bibliographic Center, Bibliographical Center for Research, and the California State Library Union Catalog) will be asked to supply current budget, cost and throughput data.

Task 6: Based on designed network services and products, conduct costing studies for manual bibliographic centers and automated systems.

To provide immediate benefit for network planning, project staff will work with the bibliographic centers and systems to fill in gaps in the present cost data and to assist management in making funding and pricing decisions. A survey instrument will be designed to determine such factors as fixed and variable cost, pricing structure and policy, effect of future demands, growth policy, etc. A compilation of these data will provide a summary document of currently observed total costs and indicators of increased market costs (Product 6).

Task 7: Develop cost models to estimate costs of network services.

The objective of this task is to provide assistance to suppliers of potential network services in determining their future costs. By addressing such issues as expansion of services, diversification, market share or potential markets, demand, elasticity, marginal analysis and pricing, costing guidelines and pricing criteria for network services can be furthered. The product of this task will be a paper discussing these issues and suggesting methodology for estimating the costs of network services (Product 7).

## IV. FINANCIAL SUPPORT PLAN FOR NETWORK (Part III)

As stated earlier, this project is dependent upon the eventual character of a still evolving network of products, services and organizations within the West. On a generalized basis, our purpose is to provide decision makers (consumers of network services) with guidance on funding issues and alternatives and on assessing various network services. This set of tasks will be approached in a manner similar to,and in conjunction with, the CLR funded project tasks to identify needs, resources and alternatives in the West.

Task 8: Develop alternative funding schemes:

An examination of the character of funding for the already existing networks is preliminary to developing alternative funding schemes. (Input to this task will come from Task 6.) A thorough evaluation of these already existing funding schemes is required to derive the best of each for use in alternative funding strategies. In order to adequately examine the complexities involved in funding, this and the following task will utilize a funding consultant with established expertise in the field.

Task 9: Evaluate alternative funding schemes:

The array of funding policies must then be evaluated, utilizing the funding expertise available to the project. Criterion to be employed in such an evaluation include equity, possibility, potential level of required funding, potential federal funding legislation, and possible governance structure. The composite result of Tasks 8 and 9 will be a research paper (Product 8) documenting current policies, economic theory, issues of funding, and addressing the funding alternatives available for the West.

Task 10: Compare present library service costs without network to estimated future costs with network:

This task is essential to current and future network planning in the West: the development of models to estimate the cost of network services. The emerging western network is in fact an amalgamation of numerous private and public organizations that currently supply a variety of products and services from which western libraries may select in order to satisfy needs and desires.

Libraries and institutions (consumers) will continue to have alternatives from which to choose as they seek to fulfill needs. This task will supply these decision-makers with a cost model that will give them a base upon which to make decisions, even as conditions and possible combinations vary. This work is envisioned as a research paper detailing the methodology necessary to assess processing alternatives or new network services and in establishing guidelines for evaluating such services (Product 9). This will provide the mechanism, and the considerations to be examined, for the decision-making process of that library.

V. PRODUCTS

In summary, we plan to accomplish the objectives of these studies with the following products

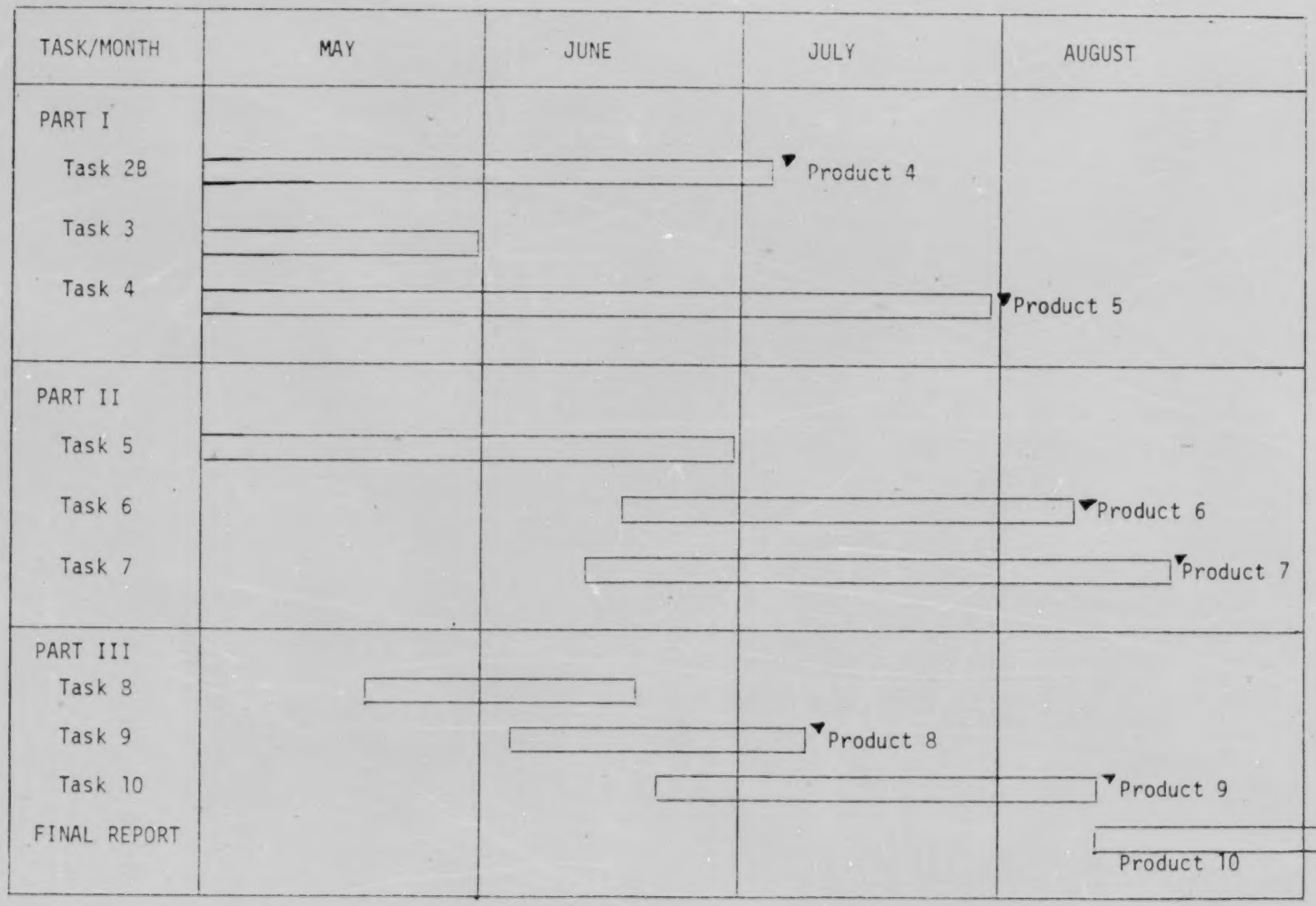
| | |
|---|---|
| Product 1 | Bibliography on Existing Cost Data and Methodology |
| Product 2 | Data Collection Instruments |
| Product 3 | Sample Design and Procedures |
| Product 4 | Programs and Procedures for Costing Analysis |
| Product 5 | Summary of Present Costs in Technical Processing and Interlibrary Loan |
| Product 6 | Summary of Costs at the Three Bibliographic Centers - BCR, PNBC, and CSLUC, and the Automated Systems - WLN and BALLOTS |
| Product 7 | Research Paper on Cost Models to Estimate Alternative Network Costs (for the supplier) |
| Product 8 | Research Paper on Funding Policy Alternatives and Evaluation |
| Product 9 | Research Paper on Assessing Alternatives for Network Services (for the consumer) |
| Product 10 | Final Report on the Cost and Funding Studies. |

## VI. STATUS AND SCHEDULE; INFORMATION DISSEMINATION

The schedule for completing the remaining tasks is attached.

Work of the project has been publicized through the WILCO Newsletter (formerly the "Western Network Newsletter"), press releases, and staff presentations at local and state library associations. The Western Council of State Librarians, other state librarians, ARL librarians, and library leaders throughout the country are kept informed of progress and expectations on a continued basis.

PROPOSED SCHEDULE TO COMPLETE USOE PROJECT



# APPENDIX B

## DEFINITION OF STRATA IN SAMPLE DESIGN FOR SURVEY OF PRESENT LIBRARY COSTS IN 17 WESTERN STATES & BRITISH COLUMBIA

## OUTLINE OF THE SAMPLE DESIGN TO BE USED IN THE SURVEY FOR THE COST AND FUNDING STUDIES OF THE PROPOSED WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

The sample was designed to allow the collection of a great amount of data concerning costs and interlibrary loan traffic via a survey instrument. Larger libraries, both academic and public, represent a major portion of those costs as well as interlibrary loan transactions to which this study is directed. Consequently the sample is weighted towards the inclusion of the larger institutions. Additionally, regional systems were singled out as a valuable source of interlibrary loan data. For these reasons the strata follow these guidelines:

Academic Library: A library which serves a four-year university or college or a two-year junior college or community college which meets the criteria for listing in the Higher Education Directory 1974-75; excluding, however, institutions which are for-profit, trade schools, exclusively graduate education, or highly specialized institutions such as seminaries, industrial schools, etc.

Large Academic Library: Institutions meeting the criteria indicated under academic and whose holdings exceed 920,000 volumes.

Other Academic Library: Institutions meeting the criteria indicated under academic and whose holdings do not exceed 920,000 volumes.

Public Library: A library that serves free all residents of a community, district or region, and receives its financial support, in whole or in part, from public funds.

Large Public Library: A public library, according to the above classification, which is among the largest ten libraries in the western 17 states and British Columbia. This is contingent upon willingness to participate in the survey.

Other Regional Headquarters: A public library serving, or housing a center which serves, a group of independent libraries in two or more counties, and supported in whole or in part by public funds from the governmental units served or from the state. This excludes those which are considered a part of the "large public" stratum.

Other Public Library: A public library which does not fall under the definition of a large public or regional headquarters library and which holds more than 3,000 volumes.

State Library: A library maintained by state funds for the use of state officials, and sometimes for the use of all citizens of the state.

APPENDIX C

LETTERS OF INVIATION TO WESTERN LIBRARIES

TO COOPERATE IN COST & FUNDING STUDIES

AND LIBRARIES PARTICIPATING

P. O. Drawer P, Boulder, Colorado 80302 • (303)

WICHE
Western Interstate Commission for Higher Education
an equal opportunity employer

February 27, 1976

LETTER OF INVITATION FOR AN ANALYSIS OF TECHNICAL PROCESSING AND INTERLIBRARY LOAN COSTS

The Western Interstate Commission on Higher Education (WICHE) is conducting Cost and Funding studies to support the development and implementation of a proposed Western Interstate Bibliographic Network. These studies are being sponsored by a grant from the U. S. Department of Health, Education and Welfare, Department of Education, Office of Libraries and Learning Resources, with support from ten state library agencies that participate in the WICHE Continuing Education and Library Resources Program. A copy of the first issue of the Western Network Newsletter is attached.

The objectives of these studies are:

1) to determine representative cost of present library services without network support;

2) to estimate future cost of library services at various levels of proposed network support;

3) to evaluate and compare the impact of a network upon costs of library services; and

4) to examine and recommend equitable programs of financial support for an interstate bibliographic network in the West.

A detailed discussion of these objectives and the methodology to be used appears in the Summary of the Cost and Funding Studies Being Conducted for the Development and Implementation of a Western Interstate Bibliographic Network which is enclosed.

We are inviting you to participate in a major component of these studies -- an analysis of technical processing and interlibrary loan costs. One hundred libraries of all types in the West were selected by a stratified random sampling process (discussed in the attached Summary) to participate

in the Cost Study -- you are one of the libraries selected. Attached is the list of libraries in the sample.

Your participation will give us valuable data on library costs and interlibrary sharing that can be used to profile the larger geographic area, predict future costs, and evaluate the potential impact of a variety of network services. In addition, we trust that you will find the data valuable for your local planning. A final report of the full study will be available by Summer 1976.

As a part of the study, you will be asked to complete a sixteen-page questionnaire which covers library structure, holdings, staffing, outside support services, in-house computer support, regional library activities, budgeting, technical services statistics and interlibrary loan statistics. The questionnaire has been pretested in six Idaho libraries in order to refine the instrument and eliminate potential difficulties in its completion. From the Idaho pretest, we estimate that eight to sixteen manhours are required for the completion of the questionnaire.

We hope you will join us in this important cost study. If you can participate in the cost analysis, we hope you will also participate in a survey of interlibrary loan traffic in the West. Participation in this second-phase is not required for the participation in the survey of costs, but it will generate data vital to interlibrary sharing. This survey includes the monitoring of a sample of interlibrary loan transactions, both borrowing and lending, over a three-week period. During this time, data will be collected on the subject, language, date of publication, turnaround times, locations of lender, or requestor, and the disposition of these requests. Every tenth, or twentieth (depending on the interlibrary loan volume), requests, up to, but not exceeding 125 lending or 125 borrowing requests, will be monitored during the three-week interval.

Please consider the value of the survey results for local, state and multi-state planning when you make your decision. We hope you'll decide to participate. Please use the enclosed response form to tell us of your decision. We would like to have your responses by March 15. If you can participate, we will contact you immediately.

Sincerely,

Eleanor Montague

Eleanor Montague
Project Director
Western Network Project

EM:ap

Enclosures

P. O. Drawer P, Boulder, Colorado 80302 • (303)

WICHE
Western Interstate Commission for Higher Education
an equal opportunity employer

February 27, 1976

LETTER OF INVITATION FOR AN IN-DEPTH CASE STUDY ANALYSIS OF TECHNICAL PROCESSING COSTS AND INTERLIBRARY LOAN TRAFFIC

The Western Interstate Commission on Higher Education (WICHE) is conducting Cost and Funding studies to support the development and implementation of a proposed Western Interstate Bibliographic Network. These studies are being sponsored by a grant from the U. S. Department of Health, Education, and Welfare, Department of Education, Office of Libraries and Learning Resources, with support from ten state library agencies that participate in the WICHE Continuing Education and Library Resources Program. A copy of the first issue of the Western Network Newsletter is attached.

The objectives of these studies are:

1) to determine representative costs of present library services without network support;

2) to estimate future cost of library services at various levels of proposed network support;

3) to evaluate and compare the impact of a network upon costs of library services; and

4) to examine and recommend equitable programs of financial support for an interstate bibliographic network in the West.

A detailed discussion of these objectives and the methodology to be used appears in the Summary of the Cost and Funding Studies Being Conducted for the Development and Implementation of a Western Interstate Bibliographic Network which is enclosed.

We are inviting you to participate in a major component of these studies -- an in-depth case study analysis of technical processing costs and interlibrary loan traffic. One hundred libraries of all types in the West were selected by a stratified random sampling process (discussed in the attached Summary) to participate in the cost study. Of this group,

twelve are being invited to participate as a case study -- your library is one of those twelve. Attached is the list showing the libraries in the sample and the twelve case study libraries.

Your participation will give us valuable data on library costs and interlibrary sharing that can be used to profile the larger geographic area, predict future costs, and evaluate the potential impact of a variety of network services. In addition, we trust that you will find the data valuable for your local planning. Our staff cost analyst will spend two days with you and your staff, answering questions, assisting you in any way, and training staff memebers in the data collection requirements. Under the terms of the grant, you will receive a stipend of one hundred dollars ($100.00) for your participation as a case study library. We will provide you with a tabulation of the data collected in your library. A final report of the full study will be available by Summer 1976.

Being a case study will involve the following activities:

1) Completing a twenty-five page background questionnaire that will cover library structure, holdings, staffing, support services, overhead costs, budgeting, and statistics and procedures on technical processing and interlibrary loan.

2) Monitoring activities in technical processing and interlibrary loan. For this, staff in the areas to be studied will maintain a record of time spent and volume processed in specified activities during a three-week interval.

3) Sampling interlibrary loan transactions (both borrowing and lending). The sample will represent a tenth, or twentieth, of transactions, depending on interlibrary loan volume. The sample will not exceed 125 lending and 125 borrowing transactions. Data will be collected on the subject, date of publication, turnaround time, location of requestor, or lender, and disposition of request.

Each of the data collection instruments has been pretested in three libraries in Boise, Idaho, in order to refine the instruments and to eliminate potential difficulties in their completion. From the Idaho pretest, we estimate that between forty and sixty staff hours are required for the completion of the background questionnaire (number 1 above) and the sampling of interlibrary loan transactions (number 3 above). Approximately five minutes per day are required of each staff member maintaining activity sheets during the three-week data collection period (number 2 above).

We hope you will join us in this important study. If, however, you cannot participate in the in-depth case study, we hope you'll participate in the cost and interlibrary loan traffic survey being filled out by the non-case study libraries. This would require completion of a sixteen-page

questionnaire that is an abbreviated form of the background questionnaire. From a pretest of this shorter questionnaire, we estimate eight to sixteen staff hours are required for its completion. There is no stipend for participation in this part of the survey.

In addition to the abbreviated survey, participants are being asked to participate in a survey of interlibrary loan traffic in the West. This includes monitoring a sample of interlibrary loan transactions, both borrowing and lending, over a three-week interval. This data collection corresponds to the interlibrary loan transaction data collection outlined for the case studies (number 3 in the case studies activities list).

Please consider the value of the survey results for local, state and multi-state planning when you make your decision. We hope you'll decide to participate. Please use the enclosed response form to tell us of your decision. We would like to have your responses by March 15. If you can participate, we will contact you immediately.

Sincerely,

Eleanor Montague

Eleanor Montague
Project Director
Western Network Project

EM:ap

Enclosures

LIBRARIES PARTICIPATING IN THE SURVEY OF COSTS

IN TECHNICAL PROCESSING AND INTERLIBRARY LOAN

LARGE ACADEMIC LIBRARIES

University of Arizona
Arizona State University
Brigham Young University
University of British Columbia
University of California, Davis
University of California, Los Angeles
University of California, San Diego
University of California, Santa Barbara
Colorado State University
*University of Colorado
*University of Nebraska
University of Southern California
University of Utah
University of Washington
Washington State University
University of Hawaii

OTHER ACADEMIC LIBRARIES

Bismark Junior College (North Dakota)
Montana State University
California State University, Sacramento
*Navajo Community College (Arizona)
*Laramie County Community College (Wyoming)
Clatsop Community College (Oregon)
San Francisco State University (California)
Compton Community College (California)
New Mexico State University at San Juan
Valley City State College (North Dakota)
University of Alaska, Ketchikan Community College
American River College (California)
Butler County Community Junior College (Kansas)
Western Wyoming Community College
Northeast Nebraska Technical Community College
Western New Mexico University
Santa Barbara City College (California)
El Paso Community College (Colorado)
College of New Caledonia (British Columbia)
Miles Community College (Montana)
California State College at Dominguez Hills
*Linn-Benton Community College (Oregon)
Palomar College (California)
Southwestern Oregon Community College

LARGE PUBLIC LIBRARIES

Los Angeles Public Library (California)
San Francisco City/County Library (California)
San Diego Public Library (California)
Phoenix Public Library (Arizona)
Denver Public Library (Colorado)
Riverside City/County Library (California)
King County Library System (Washington)
Sacramento City/County Library (California)
Santa Clara County Library (California)
*Seattle Public Library (Washington)

OTHER REGIONAL LIBRARIES

Contra Costa County Library (California)
*Billings Public Library (Montana)
Cochise County Library (Arizona)
Great Falls Public Library (Montana)
Scottsbluff Public Library (Nebraska)
Weld County Library (Colorado)
Coeur d'Alene Public Library (Idaho)
Snoisle Regional Library (Washington)
*Washoe County Library (Nevada)
Fort Vancouver Regional Library (Washington)
North Central Regional Library (Washington)

OTHER PUBLIC LIBRARIES

Sheridan County Public Library (Montana)
Brush-Carnegie Library (Colorado)
*Clearwater Memorial Library (Idaho)
Provo Public Library (Utah)
American Fork Public Library (Utah)
Forest Grove Public Library (Oregon)
Shoshone-Bannock Tribes Library (Idaho)
St. John's Public Library (Arizona)
Wichita County Library (Kansas)
Rosevile Public Library (California)
Deadwood Public Library (South Dakota)
Bennett County Library (South Dakota)
Lincoln City Public Library (Oregon)
Palm Springs Public Library (California)
Salinas Public Library (California)
Minnehaha County Library (South Dakota)
Lost River Community Library (Idaho)
Oakland Public Library (California)
*Santa Clara Public Library (California)
McCone-Circle Public Library (Montana)

* Case Studies

# APPENDIX D

## ANALYSIS OF SAMPLE AND SAMPLE RESPONSE RATE

TABLE I

ORIGINAL SAMPLE -- STATE ANALYSIS

| STATE | NUMBER OF LIBRARIES IN SAMPLE | | | | | | |
|---|---|---|---|---|---|---|---|
| | Large Academic | Other Academic | Large Public | Other Regional | Other Public | State | TOTAL |
| Alaska | 0 | 1 | 0 | 0 | 0 | 1 | 2 |
| Arizona | 2 | 1 | 1 | 1 | 0 | 1 | 6 |
| California | 7 | 11 | 5 | 1 | 1 | 1 | 26 |
| Colorado | 2 | 1 | 1 | 1 | 1 | 1 | 7 |
| Hawaii | 1 | 0 | 0 | 0 | 0 | 1 | 2 |
| Idaho | 0 | 0 | 0 | 1 | 2 | 1 | 4 |
| Kansas | 1 | 1 | 0 | 1 | 8 | 1 | 12 |
| Montana | 0 | 1 | 0 | 2 | 3 | 1 | 7 |
| Nebraska | 1 | 0 | 0 | 1 | 1 | 1 | 4 |
| Nevada | 0 | 0 | 0 | 1 | 0 | 1 | 2 |
| New Mexico | 0 | 1 | 0 | 0 | 0 | 1 | 2 |
| North Dakota | 0 | 2 | 0 | 0 | 0 | 1 | 3 |
| Oregon | 1 | 1 | 1 | 0 | 1 | 1 | 5 |
| South Dakota | 0 | 0 | 0 | 0 | 1 | 1 | 2 |
| Utah | 2 | 0 | 0 | 0 | 3 | 1 | 6 |
| Washington | 2 | 0 | 2 | 1 | 0 | 1 | 6 |
| Wyoming | 0 | 1 | 0 | 0 | 0 | 1 | 2 |
| Br. Columbia | 1 | 0 | 0 | 0 | 1 | 0 | 2 |
| TOTAL | 20 | 21 | 10 | 10 | 22 | 17 | 100 |

TABLE II.

SAMPLE RESPONSE RATE BY STRATUM -- FIRST INVITATION

| STRATUM | NUMBER INVITED | PERCENT RESPONDING | | PERCENT NOT RESPONDING | NUMBER OF LIBRARIES PRESENTLY PARTICIPATING |
|---|---|---|---|---|---|
| | | YES | NO | | |
| Large Academic | 20 | 80.0% | 20.0% | 0% | 16 |
| Other Academic | 21 | 66.7% | 28.6% | 4.8% | 24 |
| Large Public | 10 | 80.0% | 20.0% | 0% | 11 |
| Other Regional | 10 | 80.0% | 20.0% | 0% | 10 |
| Other Public | 22 | 22.7% | 50.0% | 27.3% | 19 |
| State | 17 | 88.2% | 11.8% | 0% | 15 |
| TOTAL | 100 | 66.0% | 27.0% | 7.0% | 95 |

TABLE III.

INVITATIONS -- RESPONSE RATE BY STRATUM

| STRATUM | NUMBER INVITED | PERCENT RESPONDING YES | PERCENT RESPONDING NO | PERCENT NOT RESPONDING | NUMBER OF LIBRARIES PRESENTLY PARTICIPATING |
|---|---|---|---|---|---|
| Large Academic | 20 | 80.0% | 20.0% | 0% | 16 |
| Other Academic | 48 | 50.0% | 29.2% | 20.8% | 24 |
| Large Public | 14 | 78.6% | 21.4% | 0% | 11 |
| Other Regional | 14 | 71.4% | 21.4% | 7.1% | 10 |
| Other Public | 81 | 23.5% | 30.9% | 45.6% | 19 |
| State | 17 | 88.2% | 11.8% | 0% | 15 |
| TOTAL | 194 | 49.0% | 26.3% | 24.7% | 95 |

TABLE IV. INVITATIONS -- RESPONSE RATES BY STATE

| STATE | NUMBER OF INVITATIONS ISSUED | PERCENT RESPONDING YES | PERCENT RESPONDING NO | PERCENT NOT RESPONDING | NUMBER OF LIBRARIES PRESENTLY PARTICIPATING |
|---|---|---|---|---|---|
| Alaska | 2 | 100% | 0% | 0% | 2 |
| Arizona | 8 | 87.5% | 0% | 12.5% | 7 |
| California | 50 | 50.0% | 34.0% | 16.0% | 25 |
| Colorado | 14 | 50.0% | 28.6% | 21.4% | 7 |
| Hawaii | 3 | 66.7% | 0% | 33.3% | 2 |
| Idaho | 7 | 71.4% | 0% | 28.6% | 5 |
| Kansas | 18 | 11.1% | 55.6% | 33.3% | 2 |
| Montana | 11 | 54.5% | 27.3% | 18.2% | 6 |
| Nebraska | 16 | 25.0% | 12.5% | 62.5% | 4 |
| Nevada | 4 | 50.0% | 25.0% | 25.0% | 2 |
| New Mexico | 4 | 75.0% | 0.% | 25.0% | 3 |
| North Dakota | 6 | 50.0% | 33.3% | 16.7% | 3 |
| Oregon | 15 | 40.0% | 33.3% | 26.7% | 6 |
| South Dakota | 9 | 44.4% | 33.3% | 22.2% | 4 |
| Utah | 6 | 83.3% | 16.7% | 0% | 5 |
| Washington | 11 | 72.7% | 18.2% | 9.1% | 8 |
| Wyoming | 5 | 40.0% | 20.0% | 40.0% | 2 |
| British Columbia | 5 | 40.0% | 0% | 60.0% | 2 |
| TOTAL | 194 | 49. % | 26.3% | 24.7% | 95 |

TABLE V. FINAL SURVEY -- STATE ANALYSIS

| State | NUMBER OF LIBRARIES IN SAMPLE | | | | | | |
|---|---|---|---|---|---|---|---|
| | Large Academic | Other Academic | Large Public | Other Regional | Other Public | State | TOTAL |
| Alaska | 0 | 1 | 0 | 0 | 0 | 1 | 2 |
| Arizona | 2 | 1 | 1 | 1 | 1 | 1 | 7 |
| California | 5 | 7 | 7 | 0 | 5 | 1 | 25 |
| Colorado | 2 | 1 | 1 | 1 | 1 | 1 | 7 |
| Hawaii | 1 | 0 | 0 | 0 | 0 | 1 | 2 |
| Idaho | 0 | 0 | 0 | 1 | 3 | 1 | 5 |
| Kansas | 0 | 1 | 0 | 0 | 1 | 0 | 2 |
| Montana | 0 | 2 | 0 | 2 | 1 | 1 | 6 |
| Nebraska | 1 | 1 | 0 | 1 | 0 | 1 | 4 |
| Nevada | 0 | 0 | 0 | 1 | 0 | 1 | 2 |
| New Mexico | 0 | 2 | 0 | 0 | 0 | 1 | 3 |
| North Dakota | 0 | 2 | 0 | 0 | 0 | 1 | 3 |
| Oregon | 0 | 3 | 0 | 0 | 2 | 1 | 6 |
| South Dakota | 0 | 0 | 0 | 0 | 3 | 1 | 4 |
| Utah | 2 | 0 | 0 | 0 | 2 | 1 | 5 |
| Washington | 2 | 0 | 2 | 3 | 0 | 1 | 8 |
| Wyoming | 0 | 2 | 0 | 0 | 0 | 0 | 2 |
| Br. Columbia | 1 | 1 | 0 | 0 | 0 | 0 | 2 |
| TOTAL | 16 | 24 | 11 | 10 | 19 | 15 | 95 |

## APPENDIX E

## CASE STUDY DATA COLLECTION INSTRUMENTS

## ACTIVITY SHEETS AND DEFINITIONS

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Form 4: Acquisitions Activity Sheet

Form 5: Cataloging Activity Sheet

Form 6: Serials/Periodicals Check-In and Cataloging Activity Sheet

Form 7: Interlibrary Loan Activity Sheet

ACQUISITIONS ACTIVITY SHEET (FORM #4) - DEFINITIONS OF ACTIVITIES

1. REVIEW BOOK ORDER REQUESTS; REVIEW SELECTION MEDIA; SELECT TITLES TO BE ORDERED; PREVIEW; MAKE WANT LISTS: Materials requested for purchase are reviewed for duplication of backordered materials or of materials in the collection; professional literature, bibliographies, etc. are reviewed for possible materials to be ordered by the library; titles are selected for ordering; publisher or vendor preview materials are reviewed for possible purchase; items for possible ordering are listed for future review and possible purchase.

2. APPROVAL PLAN PROCESSING: Materials received on approval plan are reviewed for possible purchase; if the item is to be purchased, the item is forwarded for payment processing and record entry; if the item is not desired by the library the item is prepared for return.

3. TYPE/WRITE ORDER REQUEST CARD: After a title has been reviewed and selected for purchase, an order request card is created for processing through the acquisitions department.

4. PREORDER SEARCHING OF AN AUTOMATED OR OTHER SYSTEM (e.g. MCRS, BATAB) RECORDS: Prior to ordering the item requested, bibliographic data is checked, publisher and price information is gathered from an automated system or other system records. This data may be incorporated into a form for future use in cataloging.

5. OTHER PREORDER SEARCH, AND VERIFICATION OF BIBLIOGRAPHIC INFORMATION: Prior to ordering an item which has been requested, bibliographic data is checked, publisher and pricing information gathered from sources such as BIP, Forthcoming books, NUC, LC proof slips, etc. This data may be incorporated into a form for future use in cataloging.

6. ASSIGN VENDOR AND FUND: A supplier of the material requested is identified and the appropriate fund or account to which the item will be charged is assigned.

7. PREPARE MULTIPLE ORDER RECORD: A record of the material to be purchased is created, usually in multiple copies to be used for control of the order within acquisitions and sometimes as a temporary record in the public catalog.

8. TYPE PURCHASE REQUISITION: If not included in the preparation of a multiple order record, a request to be sent to the vendor is prepared indicating materials to be purchased, sometimes list price and bibliographic data, along with publication numbers or vendor assigned control numbers of materials requested.

9. REVISE, SIGN AND MAIL REQUESTS: The order records and purchase requisitions are examined for accuracy, and corrected as necessary. Requisitions are then signed and mailed to the vendor.

10. WORK WITH AUTOMATED SYSTEM FOR ACQUISITION PURPOSES (OTHER THAN PREORDER SEARCHING): A computer system may be used to produce order records, purchase requisitions, vendor and fund assignment, book fund accounting, preparation of accession lists, producing notification of requestor, preparation of record invoice for payment, etc. If such a system is used please specify system in the space provided.

11. BURST (SEPARATE) ORDER FORMS AND SORT: The multiple order record is separated into appropriate groups for filing or processing. These forms may be alphabetized according to the entry to be used in the file for which it is intended.

12. FILE FORMS: The separated order records are interfiled into appropriate catalogs or files. Filing may be checked by another employee for accuracy of filing, and revised or corrected as necessary.

13. ENCUMBRANCE OR PREPAYMENT ACCOUNTING ROUTINES: The fund assigned to the order is charged for the item to be purchased if prepayment is necessary, or the appropriate amount is encumbered from the fund. Payment is then processed and approved for payment to the vendor either prior or after receipt of the material requested depending upon the policies of the vendor and the library.

14. UNPACK BOOKS; CHECK AGAINST PACKING LIST: The materials requested are received and removed from shipping cover. The enclosed packing list is then checked against the receipts. Materials not received are forwarded to the appropriate personnel for claiming, and materials not ordered are forwarded to the appropriate personnel for returns.

15. RECEIPT AND BOOK ACCESSIONING ROUTINES: Materials that have been received are checked against order records for accuracy. Records are then pulled or annotated to note arrival of the requested item. Depending upon the policy of the library, the item may be assigned an accession number as a control of the item.

16. PREPARATION OF ACCESSION LISTS: Materials received are combined into a list of recent acquisitions, accession list or other document for either internal library use, or as a public document for the information of the patrons.

17. NOTIFICATION OF REQUESTER: The patron or staff member requesting the item is notified of the arrival of the item. A standard notification form may be prepared for mailing to the requester, or the requester may be notified by telephone

18. GIFT ROUTINES: Gifts received from individuals, other libraries, or foundations, are reviewed for possible inclusion in the library collection. Items are checked to insure against unnecessary duplication. Gift record forms are prepared, giving source of gift, date of gift, necessary bibliographic information, etc. Letters of gratitude may be issued to the donor.

19. EXCHANGE ROUTINES: Collections of other libraries, agencies or individuals are reviewed for possible trade of items within your library collection. This may be a part of a sharing agreement, in which individual libraries agree to develop collection in specified areas, and the exchange furthers this development for each library, or a one-time exchange to complete certain series within each library, etc.

20. CHECK-IN, PREPARE INVOICES FOR PAYMENT: The received item is checked against order records, and the record is annotated to note the receipt. Forms are prepared to process payment to the vendor for the item and forwarded to the appropriate accounting division.

21. CLEAR IN-PROCESS FILE: Records for items which have been ordered and received are removed from the in-process file and may be attached to the item or forwarded to another receiving file with notations of date received and action taken.

22. PREPARATION OF RECEIVING REPORTS: Items received and payments processed are entered into an acquisitions report for accounting or internal purposes.

23. CLAIMS ROUTINES: After a specified period from the time an item is ordered, the vendor is re-queried to supply the the item. A claim is then filed in a claims file to control the progress of the item. Replies to the claim are reviewed, and appropriate action on the reply is taken.

24. CANCELLATIONS ROUTINES: An order which has already been issued is canceled either due to a duplicate receipt, unsatisfactory service from the vendor, or a decision not to purchase the item. A notice is prepared for the vendor, and records concerning the order are removed or annotated to reflect the cancellation of the order.

25. RETURN ROUTINES: Items received on a preview basis, approval plan, or in error are prepared for shipment back to the vendor. Records of this disposition may be prepared and filed or forwarded to the appropriate section.

26. OUT-OF-PRINT ROUTINES: The library may be notified that an item which has been ordered is out-of-print by the vendor. The title is then reviewed for possible alternative action. If the item will not be sought elsewhere the appropriate records are annotated as out-of-print ("o.p.") and removed to the designated files for out-of-print materials. The item may be sought elsewhere from such vendors who supply out-of-print materials if the title is desired.

27. RENEWAL OR PROCESSING: Serials, standing orders, or other long-term order are reviewed periodically for suitability to the library. If the order is still desired, the vendor is notified of continuation of the order, payments for the order may be made and records reinstated. This would include renewals also.

28. MAINTENANCE OF VENDOR FILES, VENDOR STATUS ROUTINES, ADDRESS FILES: Files are maintained on the vendors with which the library deals. These files are updated (new records are typed, revised and filed), and weeded (discontinued vendors are removed from the files). Changes of address are noted on the appropriate vendor record. Correspondence files containing interaction between the library and vendor may also be maintained.

29. MAINTENANCE OF ORDER FILES, POSTING INFORMATION: Order files are reviewed for backordered materials. Information concerning the status of the order may be entered on the order record. Order records are checked to verify non-receipt.

30. FUND MANAGEMENT, STATISTICAL REPORTING: The status of funds are maintained. Book fund accounting is performed. Reports may be developed to indicate status of funds, summarize a record of orders, develop statistical data on acquisitions.

31. OTHER ADMINISTRATIVE, SUPERVISORY [illegible], TRAINING, PROFESSIONAL DEVELOPMENT, UNASSIGNED TIME, PEER CONSULTATION, TELEPHONE: Any time spent in supervising personnel within the department, on administrative duties (such as correspondence, staff review, reports, budgeting), training new personnel, conferring with associates, professional reading, staff or professional meetings, telephone answering, coffee breaks, or other non-assigned time for which you are paid. DO NOT include lunch breaks, sick leave or vacation. Do not include time for which you are not paid.

32. DATA COLLECTION FOR THIS STUDY: Enter time spent in filling out this form or reviewing procedures or definitions for this study in this category.

33. OTHER: Enter here only those tasks which do not fall into any of the above categories. Please specify the activity, time spent in this task, and volume processed (if applicable).

ACQUISITIONS ACTIVITY SHEET

FORM #4

LIBRARY _____ (8-10)

EMPLOYEE ID NUMBER _____ (11-15)

DATE(S) _____

ENTER BELOW THE TIME SPENT AND VOLUME PROCESSED IN EACH ACTIVITY LISTED. ACTIVITY SHEETS SHOULD BE COMPLETED BY EACH EMPLOYEE FOR EACH WEEK OVER A PERIOD OF THREE WEEKS. AN EMPLOYEE WHOSE WORK FALLS INTO TWO SECTORS UNDER STUDY (e.g. acquisitions and serials) WILL HAVE TWO SHEETS TO COMPLETE FOR THOSE DAYS IN WHICH HIS/HER ACTIVITIES OVERLAP. ENTRIES SHOULD BE MADE AS A TASK IS COMPLETED, FILLING OUT TOTAL BOXES ONLY AT THE END OF THE TIME PERIOD FOR WHICH THIS SHEET IS USED. ROUND OFF TIMES TO THE NEAREST FIVE MINUTES (e.g. 48 minutes should be entered as 50 minutes; 47 minutes as 45 minutes, etc.). DO NOT INCLUDE LUNCH BREAKS.

| ACTIVITY (16-20) | TIME (in minutes) (21-25) | UNITS PROCESSED (26-30) |
|---|---|---|
| 1. REVIEW BOOK ORDER REQUESTS; REVIEW SELECTION MEDIA; SELECT TITLES TO BE ORDERED; PREVIEW; MAKE WANT LISTS. | TOTAL: | (in titles selected) TOTAL: |
| 2. APPROVAL PLAN PROCESSING | TOTAL: | (in titles approved) TOTAL: |
| 3. TYPE/WRITE ORDER REQUEST CARD | TOTAL: | (in order requests) TOTAL: |
| 4. PREORDER SEARCHING OF AUTOMATED OR OTHER SYSTEM RECORDS (SPECIFY SYSTEM _____) | TOTAL: | (in searches) TOTAL: |
| 5. OTHER PREORDER SEARCH, AND VERIFICATION OF BIBLIOGRAPHIC INFORMATION | TOTAL: | (in searches) TOTAL: |
| 6. ASSIGN VENDOR AND FUND | TOTAL: | (in orders) TOTAL: |
| 7. PREPARE MULTIPLE ORDER RECORD | TOTAL: | (in orders) TOTAL: |
| 8. TYPE PURCHASE REQUISITION (IF NOT A PART OF ACTIVITY (7), ABOVE) | TOTAL: | (in orders) TOTAL: |
| 9. REVISE, SIGN AND MAIL REQUISITION | TOTAL: | (in orders) TOTAL: |
| 10. WORK WITH AUTOMATED SYSTEM FOR ACQUISITION PURPOSES (OTHER THAN ACTIVITY (4), ABOVE) | TOTAL: | (in orders) TOTAL: |
| 11. BURST (SEPARATE) ORDER FORMS AND SORT | TOTAL: | (in order forms) TOTAL: |
| 12. FILE FORMS | TOTAL: | (estimated number of forms) TOTAL: |
| 13. ENCUMBRANCE OR PREPAYMENT ACCOUNTING ROUTINES | TOTAL: | (in orders) TOTAL: |
| 14. UNPACK BOOKS; CHECK AGAINST PACKING LIST | TOTAL: | (in volumes) TOTAL: |
| 15. RECEIPT AND BOOK ACCESSIONING ROUTINES | TOTAL: | (in volumes) TOTAL: |
| 16. PREPARATION OF ACCESSION LISTS | TOTAL: | (in volumes accessioned) TOTAL: |
| 17. NOTIFICATION OF REQUESTER | TOTAL: | (in notifications) TOTAL: |

FOOTNOTES

| | | |
|---|---|---|
| 18. GIFT ROUTINES (PREPARE GIFT RECORD FORM, ETC.) | TOTAL: | (in gifts received) TOTAL: |
| 19. EXCHANGE ROUTINES | TOTAL: | (in exchanges) TOTAL: |
| 20. CHECK-IN, PREPARE INVOICES FOR PAYMENT | TOTAL: | (in invoices) TOTAL: |
| 21. CLEAR IN-PROCESS FILE | TOTAL: | (in orders received) TOTAL: |
| 22. PREPARATION OF RECEIVING REPORTS | TOTAL: | NO ENTRY |
| 23. CLAIMS ROUTINES | TOTAL: | (in claims handled) TOTAL: |
| 24. CANCELLATIONS ROUTINE | TOTAL: | (in cancellations) TOTAL: |
| 25. RETURN ROUTINES | TOTAL: | (in returns) TOTAL: |
| 26. OUT-OF-PRINT ROUTINES | TOTAL: | (in orders) TOTAL: |
| 27. RENEWALS OR CONTINUATIONS PROCESSING | TOTAL: | (in continuations) TOTAL: |
| 28. MAINTENANCE OF VENDOR FILES, VENDOR STATUS ROUTINES, ADDRESS FILES | TOTAL: | NO ENTRY |
| 29. MAINTENANCE OF ORDER FILES, POSTING INFORMATION | TOTAL: | NO ENTRY |
| 30. FUND MANAGEMENT, STATISTICAL REPORTING | TOTAL: | NO ENTRY |
| 31. OTHER ADMINISTRATIVE, SUPERVISORY ROUTINES, TRAINING, PROFESSIONAL DEVELOPMENT, UNASSIGNED TIME (e.g. breaks) PEER CONSULTATION, TELEPHONE | TOTAL: | NO ENTRY |
| 32. DATA COLLECTION FOR THIS STUDY | TOTAL: | NO ENTRY |
| 33. OTHER (SPECIFY) | TOTAL: | TOTAL: |
| | TOTAL: | TOTAL: |
| | TOTAL: | TOTAL: |

FOOTNOTES

TOTAL TIME REPORTED

(e.g. a normal 8 hour working day contains 480 minutes, a 40 hour work week contains 3400 minutes)

CATALOGING ACTIVITY SHEET

C & I STUDY FORM #5

NOTE: Reduced from original size

LIBRARY _____ (5-10)

EMPLOYEE ID NO. _____ (11-15)

DATE(S) _____

ENTER BELOW THE TIME SPENT AND VOLUME PROCESSED IN EACH ACTIVITY LISTED. EXCLUDE TIME SPENT IN SERIALS CATALOGING. THIS TIME SHOULD BE ENTERED IN FORM #6. ACTIVITY SHEETS SHOULD BE COMPLETED BY EACH EMPLOYEE FOR EACH WEEK OVER A PERIOD OF THREE WEEKS. AN EMPLOYEE WHOSE WORK FALLS INTO TWO SECTORS (e.g. serials and cataloging) UNDER STUDY WILL HAVE TWO SHEETS FOR THOSE DAYS WHERE HIS/HER ACTIVITIES OVERLAP. ENTRIES SHOULD BE MADE AS A TASK IS COMPLETED, FILLING OUT TOTAL BOXES AT THE END OF THE WEEK FOR WHICH THIS SHEET IS USED. ROUND OFF TO THE NEAREST 5 MINUTES (e.g. 46 minutes should be entered as 50 minutes, 47 minutes as 45 minutes, etc.). DO NOT USE THE LUNCH BREAK.

| ACTIVITY (1-4) | TIME (in minutes) (11-15) | UNITS PROCESSED (16-19) |
|---|---|---|
| 1. RECEIVE, SORT, DISTRIBUTE INCOMING ITEMS | TOTAL | (no entry) |
| 2. SEARCHING FOR LC CARD OR COPY, OTHER CATALOGING COPY (e.g. MARC), NUC | TOTAL | (in volumes) TOTAL |
| 3. OTHER BIBLIOGRAPHIC VERIFICATION | TOTAL | (in volumes) TOTAL |
| 4. PHOTOGRAPHING CARD COPY FROM SOURCE SUCH AS NUC | TOTAL | (in frames) TOTAL |
| 5. ORDERING, RECEIVING, ARRANGING CATALOG CARDS OR PROOF SLIPS | TOTAL | (no entry) |
| 6. MATCHING CARD OR CARD COPY WITH ITEM | TOTAL | (in volumes) TOTAL |
| 7. ADDED COPY, ADDED VOLUME ROUTINES | TOTAL | (in volumes) TOTAL |
| 8. ORIGINAL CATALOGING | TOTAL | (in volumes) TOTAL |
| 9. CATALOGING WITH CARDS OR CARD COPY (INCLUDING POLOROID COPY) | TOTAL | (in volumes) TOTAL |
| 10. "FAST-CAT", ROSS CATALOGING, ABBREVIATED CATALOGING | TOTAL | (in volumes) TOTAL |
| 11. CATALOGING FROM AUTOMATED (e.g. OCLC) OR OTHER (e.g. MARC) SYSTEM RECORDS (specify system) | TOTAL | (in volumes) TOTAL |
| 12. CATALOGING REVISION (e.g. reclassification, checking headings, etc.) | TOTAL | (in volumes) TOTAL |
| 13. MANUAL PRODUCTION/REPRODUCTION/PRINTING OF CATALOG CARDS (including preparation, typing of card and heading) | TOTAL | (in cards produced) TOTAL |
| 14. REVISION OF CATALOG CARDS (e.g. proofing for accuracy, correcting) | TOTAL | (in cards) TOTAL |
| 15. ALPHABETIZING, PREFILING OF CATALOG CARDS | TOTAL | (estimate of cards) TOTAL |
| 16. FILING CATALOG CARDS INTO CATALOGS (including shelf list) AND FILING REVISION | TOTAL | (estimate of cards) TOTAL |
| 17. AUTHORITY WORK, UPDATING AUTHORITY FILES | TOTAL | (no entry) |
| 18. PREPARE AND REVISE CIRCULATION CARD, BOOK POCKET | TOTAL | (in volumes) TOTAL |
| 19. PREPARE BOOK FOR SHELF (e.g. DATING SLIP, LABEL, book pocket, stamp, etc.) | TOTAL | (in volumes) TOTAL |
| 20. CATALOG MAINTENANCE (replacing cards, transferring files, etc.) | TOTAL | TOTAL |
| 21. SPECIAL PROJECTS | TOTAL | TOTAL |
| 22. SUPERVISION, ADMINISTRATION, TRAINING, UNASSIGNED TIME, (e.g. breaks), MEETINGS, PROFESSIONAL DEVELOPMENT, PEER CONSULTATION, TELEPHONE | TOTAL | TOTAL |
| 23. DATA COLLECTION FOR THIS STUDY | TOTAL | TOTAL |
| 24. OTHER (SPECIFY) | TOTAL | TOTAL |
| | TOTAL | TOTAL |
| | TOTAL | TOTAL |

TOTAL TIME REPORTED _____

(e.g. a normal 8 hour working day contains 480 minutes, a 40 hour work week contains 2400 minutes)

FOOTNOTES

CATALOGING ACTIVITIES

1. RECEIVE, SORT, DISTRIBUTE INCOMING ITEM - Items (mail) are received from acquisitions or mail room. These items are then sorted and distributed to the appropriate person or sections.

2. SEARCHING FOR LC CARD OR COPY, OR OTHER CATALOGING COPY (e.g. MEDLARS, NUC) - Locating cataloging copy or copy closely approximating titles to be catalogued. This includes searching proof slip files, NUC, or the LC catalog of printed cards for cataloging input and card reproduction. May also include searching cataloging data from microform card catalog sources.

3. OTHER BIBLIOGRAPHIC VERIFICATION - Other searching and verifying of bibliographic information other than that included in #2 above.

4. TYPING/MARKING (ADDITIONAL) FOR REPRODUCTION OF OTHER COPY - Typing, by-passing of a paper, cataloging source copy for use in catalog card reproduction or cataloging cards.

5. ORDERING, RECEIVING, AWAKENING CATALOG CARDS OR COPY - The ordering, alphabetizing, and receiving of catalog cards or copy from the Library of Congress or from a vendor, card supplier, or other agent.

6. MATCHING CARDS OR COPY WITH ITEM - Items to catalogued are taken, cataloging copy or cards are matched to the item which it represents. Author and title are checked against the cards. Cards or card copy are then attached to item.

7. ADDED COPY/ADDED VOLUME PROCESSING - Additional copies or further volumes of a title which has previously been catalogued by your library. Depending upon library policy, the main entry and shelf list card (occasionally the kardex record) may be annotated to indicate the item has received. Some additional processing may also be necessary.

8. ORIGINAL CATALOGING - Original cataloging, subject analysis, classification, analytics and authority work (i.e. name and subject, etc.) are performed where no LC copy or adequate cataloging data are available. A cataloger prepares a work form, or uses input to be used in typing copy for catalog card reproduction or for input into an automated system. Book is accessioned (stamped).

9. CATALOGING WITH CARD OR COPY (OR INPUTTING TO AUTOMATED SYSTEM) - The classification and description of an item using LC cards, printed copy, commercial cards, CIP data from the title page verso, commercial cards, or card copy.

10. FAST-CAT, RUSH CATALOGING, ABBREVIATED CATALOGING - The classification and description of an item in an abbreviated form so that the item can be made available (circulated) immediately.

11. CATALOGING FROM AUTOMATED (e.g. OCLC) OR OTHER CATALOGING SYSTEM RECORDS - The use of an automated cataloging system (e.g. OCLC, BALLOTS or other system such as MEDLI) to locate cataloging records. The classification and description of the item may then be taken from these records. Please specify the system employed.

12. CATALOGING REVISION - The review of cataloging and classification by someone other than the cataloger himself/herself to ensure correctness and appropriateness. Corrections and changes are made as necessary.

13. MANUAL PRODUCTION/REPRODUCTION/TYPING OF CATALOG CARDS - Catalog, shelf list and authority cards are produced or reproduced for use in the various card catalogs. A master card is sometimes typed, to be used in reproducing sets of unit cards or a complete set of cards is typed. A close copy may then be modified for the same purposes. The modified card then serves as a master card. Also included in this category are the typing of card headings, printing of cards, copying of card sets.

14. REVISION OF CATALOG CARD - Produced card sets are proofed for accuracy of headings, typographical errors, or a master card is proofread for accuracy. Corrections are made as necessary.

15. ALPHABETIZING, INSERTING OR FILING CARDS - Card sets are sorted and alphabetized for new titles, main entry and analytic cards for added volumes, work for titles re-catalogued or reclassified, cards withdrawn to update entry, etc. These cards are arranged into 26 groups according to the first letter of the first word of catalog entry with additional sorting of each subgroup by 2nd and 3rd letter, and the final arrangement of each subgroup in alphabetic order, word by word, to the end of the entry of each card.

16. FILING CATALOG CARDS INTO CATALOG AND FILING REVISION - Cards which have been prefiled into alphabetical groups and according to receiving stations are then placed in the appropriate filing order for the catalog. Interfiled cards may be placed above the drawer bar to be checked by another employee for accuracy. Filing is then corrected or revised and placed under the bar.

17. AUTHORITY WORK, UPDATING AUTHORITY FILE - Maintenance and updating of uniform main entries, subject headings, cross-references in order to control and keep current standard headings employed in the catalog.

18. PREPARE AND REVISE CIRCULATION CARD, BOOK POCKET - A book pocket and card to be placed in the item may be prepared giving main entry, title, call number, accession number, etc. This pocket and card is then reviewed for accuracy and attached to the item for book preparation personnel placement in the item.

19. PREPARE BOOK FOR SHELF - The item is stamped with the library ownership stamp and accession number. A gift form may be attached to the item. The item may be weighed for the mailer, and spine label and plastic cover may be attached.

20. CATALOG MAINTENANCE - The card catalog or other catalogs are reviewed periodically for damaged cards, withdrawn or missing items, etc. Cards are then removed for replacement or annotation, or plastic covers placed over the card.

21. SPECIAL PROJECT(S) - Duties associated with a special project within the cataloging department, such as reclassification or conversion projects, are included in this category. Usually a special project is conducted for a specified period of time and may require additional staff on a temporary basis.

22. SUPERVISION, ADMINISTRATION, TRAINING, UNASSIGNED TIME, MEETINGS, PROFESSIONAL DEVELOPMENT, PEER CONSULTATION, TELEPHONE - Any time spent on supervising personnel within the department, on administrative duties (such as correspondence, staff review, reports, budgeting, statistics), training new personnel for duties, conferring with associates, professional reading, staff or professional meetings, telephone answering, coffee breaks, or other non-assigned time should be entered here. DO NOT INCLUDE LUNCH BREAK, OR SICK OR VACATION LEAVE. Do not include time for which you are not paid.

23. DATA COLLECTION FOR THIS STUDY - Enter time spent in filling out this form or reviewing procedures or definitions for this study in this category.

24. OTHER - Enter here only those tasks which do not fall into any of the above categories. Please specify the activity, time spent in this task, and volume processed (if applicable).

SERIALS/PERIODICALS CHECK-IN AND CATALOGING ACTIVITY SHEET

C & F STUDY FORM #6

NOTE: Reduced from original size

LIBRARY _____ (8-10)
EMPLOYEE ID NUMBER _____ (11-15)
DATE(S) _____

ENTER BELOW THE TIME SPENT AND VOLUME PROCESSED IN EACH ACTIVITY LISTED. ACTIVITY SHEETS SHOULD BE COMPLETED BY EACH EMPLOYEE FOR A PERIOD OF THREE WEEKS. AN EMPLOYEE WHOSE WORK FALLS INTO TWO SECTORS UNDER STUDY (e.g. serials and acquisitions) WILL HAVE TWO SHEETS TO COMPLETE FOR THOSE DAYS ON WHICH HIS/HER ACTIVITIES OVERLAP. ENTRIES SHOULD BE MADE AS EACH TASK IS COMPLETED, FILLING TOTAL BOXES AT THE END OF THE PERIOD FOR WHICH THIS SHEET IS USED. DO NOT INCLUDE LUNCH BREAKS. ROUND OFF TO THE NEAREST 5 MINUTES (e.g. 48 minutes should be entered as 50 minutes, 47 minutes as 45 minutes, etc.)

| ACTIVITY (16-20) | TIME (in minutes) (21-25) | UNITS PROCESSED (26-30) |
|---|---|---|
| 1. RECEIVE, SORT, DISTRIBUTE INCOMING ITEMS | TOTAL: | (no entry) |
| 2. BIBLIOGRAPHIC SEARCHING | TOTAL: | (in titles) TOTAL: |
| 3. OTHER BIBLIOGRAPHIC VERIFICATION | TOTAL: | (in titles) TOTAL: |
| 4. SERIALS/PERIODICALS CONTROL (CHECK-IN) ON AUTOMATED SYSTEM (SPECIFY SYSTEM _____) | TOTAL: | (in items) TOTAL: |
| 5. ORIGINAL CATALOGING OF SERIAL TITLES | TOTAL: | (in titles) TOTAL: |
| 6. SERIALS CATALOGING WITH CARDS OR CARD COPY | TOTAL: | (in titles) TOTAL: |
| 7. CATALOGING SERIALS FROM AUTOMATED OR OTHER SYSTEM RECORDS (SPECIFY SYSTEM _____) | TOTAL: | (in titles) TOTAL: |
| 8. CHANGE IN AUTHOR/TITLE ROUTINES | TOTAL: | (in titles) TOTAL: |
| 9. CLAIMS ROUTINES | TOTAL: | (in items claimed) TOTAL: |
| 10. BINDERY ROUTINES | TOTAL: | (in volumes) TOTAL: |
| 11. CANCELLATION ROUTINES | TOTAL: | (in subscriptions cancelled) TOTAL: |
| 12. RENEWAL AND ORDERING ROUTINES | TOTAL: | (in subscriptions) TOTAL: |
| 13. TYPING/REVISING KARDEX RECORDS | TOTAL: | (in cards) TOTAL: |
| 14. MANUAL PRODUCTION/REPRODUCTION/PRINTING OF CATALOG CARDS (including preparation, typing of card and headings) | TOTAL: | (estimated number of cards) TOTAL: |
| 15. AUTHORITY WORK | TOTAL: | (no entry) TOTAL: |
| 16. INVOICE PROCESSING | TOTAL: | (in invoices) TOTAL: |
| 17. ADMINISTRATION, SUPERVISION, UNASSIGNED (e.g. breaks) TRAINING, PROFESSIONAL DEVELOPMENT, PEER CONSULTATION, TELEPHONE | TOTAL: | (no entry) |
| 18. DATA COLLECTION FOR THIS STUDY | TOTAL: | (no entry) |
| 19. OTHER (SPECIFY) | TOTAL: | TOTAL: |
| | TOTAL: | TOTAL: |
| | TOTAL: | TOTAL: |

TOTAL TIME REPORTED [ ]

(e.g. a normal 8 hour working day contains 480 minutes, a 40 hour work week contains 3400 minutes)

FOOTNOTES

SERIALS/PERIODICALS CHECK-IN AND CATALOGING ACTIVITIES

1. RECEIVE, SORT, DISTRIBUTE INCOMING ITEMS: Items, mails are received from acquisitions or mail room. These items are then sorted and distributed to the appropriate persons or sections.
2. BIBLIOGRAPHIC SEARCHING: New serial titles are searched in publisher lists, bibliographic sources, etc. for cataloging information to be used in cataloging the title. Bibliographic data may be photographed or reproduced as copy for cataloging the title.
3. OTHER BIBLIOGRAPHIC VERIFICATION: Other bibliographic checking is often necessary for a title which has changed title, publisher or issuance policy several times. Additional verification may also be required for analytics, and authority work.
4. SERIALS/PERIODICALS CONTROL (CHECK-IN) ON AUTOMATED SYSTEM: Successive issues of a serial title which is already cataloged in your library are checked in kardex file, system records, or other control of serials. The item is checked against the record to insure that the title is the same that appears on the record, that back issues have all been received, etc. A notation, such as a check mark, or date of issue, is made on the record to verify its receipt. Additional posting may also be performed.
5. ORIGINAL CATALOGING OF SERIAL TITLES: A new serial title which has been received by the library. Descriptive cataloging, subject analysis, classification and analytics are performed where no LC copy or adequate cataloging data are available. A cataloger prepares a work form, or sheet, to be used in typing copy for catalog reproduction, input into a automated system, or creation of a kardex record. Preparation of work sheets for entries into lists of serials may also be done.
6. SERIALS CATALOGING WITH CARDS OR CARD COPY: A new serial title or additional copy of a serial title already held by the library, is received. The cataloger classifies and describe the title using LC cards, Union List cataloging data, commercial cards, or card copy.
7. CATALOGING SERIALS FROM AUTOMATED OR OTHER SYSTEM RECORDS: A new serial title is searched against the automated system. If the title is located, data is manipulated according to the policies of the library to create a record or cards for the title. Please specify system.
8. CHANGE IN AUTHOR/TITLE ROUTINES: A serial which is already held by the library changes publisher, title, or sponsoring agency. Cards for the serial (catalog and kardex) are pulled for annotation (if a minor change) or for new cards. Appropriate cross-references, card and kardex revision, cataloging revision (if required) are made.
9. CLAIMS ROUTINES: An issue of a serial title has not been received in a specified time since publication. The vendor is notified to supply the item, records are annotated to indicate the issuance of a claim, and a claim record may be filed in a claims file. When the item or other notification of the disposition of the request is received, the claim is pulled and attached to the item or records are annotated to indicate other disposition such as out-of-print, not issued, etc.
10. BINDERY ROUTINES: When a volume is complete, a bindery slip is filled out and attached to the item. Other issues of the volume may be collected from the stacks, and the entire volume, if complete, forwarded to bindery. Records are annotated to indicate the volume as in bindery.
11. CANCELLATION ROUTINES: Continuation of a serial title subscription is no longer desired by the library. The vendor is notified to cancel the subscription. Records are annotated to note discontinuance ["closed-out"], and kardex record may be removed to a "dead file".
12. RENEWAL AND ORDERING ROUTINES: A serial title is reviewed for inclusion in the library collection. If desired, the title is ordered from the appropriate vendor and payment processed. A serial title, already owned by the library, is renewed after the prior subscription terminates.
13. TYPING/REVISING KARDEX RECORDS: New serial titles, additional titles, changes in title often require new Kardex records. The kardex card is typed, reviewed, and corrected if necessary.
14. MANUAL PRODUCTION/REPRODUCTION/PRINTING OF CATALOG CARDS: Catalog cards, shelf list, and authority cards are produced or reproduced for use in the various card catalogs. A master card is sometimes typed, reviewed, and corrected as necessary. The master copy may then be used for reproduction purposes. Headings may be typed on card sets. Printing and copying of cards is also included in this category.
15. AUTHORITY WORK: Maintenance and updating of uniform main entries, subject headings, cross-reference in order to control and keep current standard headings employed in the catalog.
16. INVOICE PROCESSING: A serial which has been ordered or renewed must have payment processed. An invoice may be received from the vendor for payment. This invoice is then recorded in an appropriate record and forwarded to accounting for payment.
17. ADMINISTRATION, SUPERVISION, UNASSIGNED TIME, TRAINING, PROFESSIONAL DEVELOPMENT, PEER CONSULTATION, TELEPHONE: Any time spent in supervising personnel within the department, on administrative duties (e.g. correspondence, staff review, reports, budgeting, statistics), training new personnel, conferring with associates, professional reading, staff or profession meetings, telephone answering, coffee breaks, or other unassigned time for which you are paid. Do not include lunch breaks, or sick leave, or vacation. Do not include time for which you are not paid.
18. DATA COLLECTION FOR THIS STUDY: Enter time spent in filling out this form, or reviewing procedures or definitions for this study under this category.
19. OTHER: Enter here only those tasks which do not fall into any of the above categories. Please specify the activity, time spent in this task, and volume processed (if applicable).

INTERLIBRARY LOAN ACTIVITY SHEET (FORM #7) - DEFINITIONS OF ACTIVITIES

LENDING ACTIVITIES

1. RECEIVING REQUEST: A request is received from another library for materials held by your library. The request may be received by telephone, mail, teletype or other means of communication.

2. VERIFYING REQUEST: Bibliographic data may be verified to insure correctness of entry given in request.

3. CHECKING SERIALS/PERIODICALS CATALOG: Requests for articles in periodicals or serials must be checked against library holdings. Records of periodical/serial titles (e.g. kardex record, serials lists) are checked to ascertain the availability of the item requested.

4. CHECKING CATALOG, LOCATING ITEM REQUESTED: The library catalog is searched to locate the call number or location of the title requested. Serials or kardex records may be checked to insure that the library has the issue requested.

5. REPLY (if your library does not own or cannot circulate requested item): After the appropriate records have been checked, the item is determined to be unavailable through your library. Forms are then annotated and a response is prepared for the requesting library. Reply may be teletyped, telephoned, mailed to the requesting library.

6. SEARCHING SHELVES, PICK-UP ITEM REQUESTED: The library shelves are searched to locate the item requested. The item, if on the shelves, is retrieved for lending purposes.

7. CHECKING PAGES REQUESTED FOR COPYING: Pages are checked to insure correctness of request, and corrected where necessary. Pages are then marked for photocopy.

8. SENDING TO PHOTOCOPY: The item is then delivered to photocopy so that the pages requested can be copied.

9. COPYING PAGES REQUESTED: The pages that are needed are copied, or microcopied.

10. INVOICING AND PROCESSING PAYMENT FOR PHOTOCOPY: The borrowing institution is billed for photocopy according to the rates established by your library. An invoice is prepared, reviewed, and corrected as necessary. The invoice is then issued to the borrowing institution, and necessary records maintained. Payment is then processed upon receipt according to the policies of your library.

11. CHECK-OUT/CIRCULATE ITEM: A card or record is created to indicate borrower, title, due date, etc., and filed with other circulation records. A card is included with item to reflect due date.

12. WRAPPING, DISTRIBUTING, PREPARING FOR MAIL: The item or photocopy is properly wrapped for shipment, addressed, etc. The item or photocopy may be hand delivered or prepared for messenger service as well.

13. OVERDUE ROUTINES: The item which hasbeen lent to the requesting institution is overdue or requested by another patron. The item is then requested from the borrowing institution for return. Records are annotated to indicate that the item has been requested. If the item is not returned the requesting institution is billed for the amount of purchase of the item.

14. RENEWAL ROUTINES: The borrowing institution requests an extension of the loan period. If the extension is granted, circulation records are annotated to reflect the revised due date.

15. UNWRAPPING, INSPECTING RETURNED ITEMS: Returned items are received, unwrapped, inspected to insure against damage, and that the appropriate item is enclosed.

16. CHANGING CIRCULATION RECORDS/DISCHARGING ITEM: Circulation records are annotated to reflect the return of the item, and record is removed from active files.

17. RESHELVING RETURNED ITEMS: The returned item, after discharge, is returned to its appropriate place on the shelf according to classification or other shelving scheme.

18. INVOICING AND PROCESSING PAYMENT FOR ILL SERVICES: If your library charges for lending material from its collection, the borrowing institution is invoiced, and upon receipt of payment, the payment is processed through the appropriate channels according to library policy.

19. OTHER LENDING ACTIVITIES: Enter here other activities associated with lending materials to other institutions and which do not belong in any of the above activities. Indicate time spent on this task and units processed (if applicable.)

BORROWING ACTIVITIES

20. ASSISTANCE TO PATRON: The patron requests materials not held in your library. The request must be specific and the immediacy of the requirement must be discerned. The patron is queried as to alternative materials for the same topic, etc.

21. VERIFYING BIBLIOGRAPHIC INFORMATION: The title or item requested is searched to verify bibliographic information.

22. DETERMINING LOCATION (IF NOT A PART OF ACTIVITY 21): The title or item requested is searched to locate a library which owns the material.

23. COMPLETING FORM, MAILING, TRANSMITTING REQUEST: A form is completed giving bibliographic information, location information, address if for mail, and requestor information. The form is then prepared for mailing, or transmitted via teletype, telephone or other means of communication.

24. RECEIVING AND UNWRAPPING ITEM REQUESTED: The item requested is received, and removed from its shipping package.

25. CHECKING REQUEST RECORDS: Request records are searched to locate original request record. Record may be annotated to indicate receipt or record may be attached to item requested.

26. NOTIFICATION OF PATRON WHO REQUESTED ITEM: A notice is typed, or a phone call made, or other means of communication is made to notify patron who requested material that the item has arrived in the library.

27. INVOICING PATRON FOR ILL SERVICES: If the lending library requests payment for photocopy or service charge, an invoice is prepared for the patron. Copies are filed in the appropriate files. The invoice is sent to the requester, or attached to the item.

28. PROCESSING PAYMENT FOR ILL SERVICES: If the lending library requests payment for copying or a service charge, payment is prepared and sent to the lending library. Appropriate records are maintained and filed.

29. PROCESSING OVERDUES: If the requester fails to return the borrowed item by the due date, s/he is notified. An overdue notice may be issued. Fines may be exacted. Fine payment processing would then follow. Correspondence may be initiated with the lending institution, etc.

30. PROCESSING RENEWALS: An extension of the lending time may be requested by the patron. Correspondence to the lending institution is then initiated. Typing, mailing, transmitting request for time extension falls into this category. Circulation records are updated to indicate revised due date.

31. CHANGING CIRCULATION RECORDS, DISCHARGING RETURNED ITEMS: An item is returned by the requestor, for return to the lending institution. The record is checked against the item, and return is noted. The circulation record may be removed to a "dead file" or discarded.

32. RETURNING ITEM (WRAPPING, PREPARING FOR MAIL): The item is wrapped, a label prepared and attached to the shipping package.

33. OTHER BORROWING ACTIVITIES: Enter here any other borrowing activities which do not fall into the above categories. Indicate the time spent in these activities and the total number of requests processed (if applicable).

OTHER ACTIVITIES

34. ADMINISTRATION, SUPERVISION, PROFESSIONAL DEVELOPMENT, MEETINGS, TRAINING, UNASSIGNED TIME (e.g. breaks), PEER CONSULTATION, TELEPHONE: Any time spent in supervising personnel within the department, on administrative duties, such as correspondence, staff review, reports, budgeting, statistics, in training new personnel, conferring with associates, professional reading, staff or professional meetings, telephone answering, coffee breaks or other non-assigned time for which you are paid. Do not include lunch breaks, sick leave or vacation. Do not include time for which you are not paid.

35. DATA COLLECTION FOR THIS STUDY: Enter time spent in filling out this form or reviewing procedures or definitions for this study under this category.

36. OTHER: Enter here only those tasks which do not relate directly to lending or borrowing activities, and which do not fall under any of the above activities.

INTERLIBRARY LOAN ACTIVITY SHEET

C & F STUDIES FORM # 7

LIBRARY _____ (8-10)

EMPLOYEE ID NUMBER _____ (11-15)

DATE(S) _____

NOTE: Reduced from original size.

ENTER BELOW THE TIME SPENT AND VOLUME PROCESSED IN EACH ACTIVITY LISTED. ACTIVITY SHEETS SHOULD BE COMPLETED BY EACH EMPLOYEE FOR EACH WEEK OVER A PERIOD OF THREE WEEKS. AN EMPLOYEE WHOSE WORK FALLS INTO TWO SECTORS UNDER STUDY (e.g. interlibrary loan and serials) WILL HAVE TWO SHEETS TO COMPLETE FOR THOSE DAYS IN WHICH HIS/HER ACTIVITIES OVERLAP. ENTRIES SHOULD BE MADE AS A TASK IS COMPLETED, FILLING OUT TOTAL BOXES ONLY AT THE END OF THE WEEK FOR WHICH THIS SHEET IS USED. ROUND OFF TO NEAREST FIVE MINUTES (e.g. 48 minutes should be entered as 50 minutes, 47 minutes as 45 minutes). DO NOT INCLUDE LUNCH BREAKS.

| | LENDING ACTIVITIES (16-20) | TIME (in minutes) (21-25) | UNITS PROCESSED (26-30) |
|---|---|---|---|
| REQUEST | 1. RECEIVING REQUEST | TOTAL: | TOTAL: |
| | 2. VERIFYING REQUEST | TOTAL: | TOTAL: |
| | 3. CHECKING SERIALS/PERIODICALS CATALOG | TOTAL: | TOTAL: |
| | 4. CHECKING CATALOG, LOCATING ITEM REQUESTED | TOTAL: | TOTAL: |
| | 5. REPLY (if your library does not own or cannot circulate requested item) | TOTAL: | TOTAL: |
| | 6. SEARCHING SHELVES, PICK-UP ITEM REQUESTED | TOTAL: | TOTAL: |
| PHOTOCOPYING | 7. CHECKING PAGES REQUESTED FOR COPYING | TOTAL: | TOTAL: |
| | 8. SENDING TO PHOTOCOPY | TOTAL: | TOTAL: |
| | 9. COPYING PAGES REQUESTED | TOTAL: | TOTAL: |
| | 10. INVOICING AND PROCESSING PAYMENT FOR PHOTOCOPY | TOTAL: | TOTAL: |
| CIRCULATION | 11. CHECK-OUT/CIRCULATE ITEM | TOTAL: | TOTAL: |
| | 12. WRAPPING, DISTRIBUTING, PREPARING FOR MAIL | TOTAL: | TOTAL: |
| | 13. OVERDUE ROUTINES | TOTAL: | TOTAL: |
| | 14. RENEWAL ROUTINES | TOTAL: | TOTAL: |
| | 15. UNWRAPPING, INSPECTING RETURNED ITEMS | TOTAL: | TOTAL: |
| | 16. CHANGING CIRCULATION RECORDS/DISCHARGING ITEM | TOTAL: | TOTAL: |
| | 17. RESHELVING RETURNED ITEMS | TOTAL: | TOTAL: |
| | 18. INVOICING AND PROCESSING PAYMENT FOR ILL SERVICES | TOTAL: | TOTAL: |
| OTHER | 19. OTHER LENDING ACTIVITIES (SPECIFY) | TOTAL: | TOTAL: |
| | | TOTAL: | TOTAL: |
| | | TOTAL: | TOTAL: |

FOOTNOTES

| | BORROWING ACTIVITIES | TIME (in minutes) | UNITS PROCESSED |
|---|---|---|---|
| REQUEST | 20. ASSISTANCE TO PATRON | TOTAL: | TOTAL: |
| | 21. VERIFYING BIBLIOGRAPHIC INFORMATION | TOTAL: | TOTAL: |
| | 22. DETERMINING LOCATION (IF NOT A PART OF ACTIVITY 21) | TOTAL: | TOTAL: |
| | 23. COMPLETING FORM, MAILING, TRANSMITTING REQUEST | TOTAL: | TOTAL: |
| RECEIPT | 24. RECEIVING AND UNWRAPPING ITEM REQUESTED | TOTAL: | TOTAL: |
| | 25. CHECKING REQUEST RECORDS | TOTAL: | TOTAL: |
| | 26. NOTIFICATION OF PATRON WHO REQUESTED ITEM | TOTAL: | TOTAL: |
| CIRCULATION | 27. INVOICING PATRON FOR ILL SERVICES | TOTAL: | TOTAL: |
| | 28. PROCESSING PAYMENT FOR ILL SERVICES | TOTAL: | TOTAL: |
| | 29. PROCESSING OVERDUES | TOTAL: | TOTAL: |
| | 30. PROCESSING RENEWALS | TOTAL: | TOTAL: |
| | 31. CHANGING CIRCULATION RECORDS, DISCHARGING RETURNED ITEMS | TOTAL: | TOTAL: |
| | 32. RETURNING ITEM (WRAPPING, PREPARING FOR MAIL) | TOTAL: | TOTAL: |
| OTHER BORROWING | 33. OTHER BORROWING ACTIVITIES (SPECIFY) | TOTAL: | TOTAL: |
| | | TOTAL: | TOTAL: |
| | | TOTAL: | TOTAL: |

| | OTHER ACTIVITIES | TIME (in minutes) | UNITS PROCESSED |
|---|---|---|---|
| OTHER | 34. ADMINISTRATION, SUPERVISION, PROFESSIONAL DEVELOPMENT, MEETINGS, TRAINING, UNASSIGNED TIME (e.g. breaks), PEER CONSULTATION, TELEPHONE | TOTAL: | |
| | 35. DATA COLLECTION FOR THIS STUDY | TOTAL: | |
| | 36. OTHER (SPECIFY) | TOTAL: | TOTAL: |
| | | TOTAL: | TOTAL: |
| | | TOTAL | TOTAL: |

TOTAL TIME REPORTED

FOOTNOTES

(e.g. a normal 8 hour working day contains 480 minutes, a 40 hour work week contains 3400 minutes)

APPENDIX F

PARTICIPANTS IN ILL SURVEY

## INTERLIBRARY LOAN SAMPLING INTERVAL

Listed below are the institutions participating in the Interlibrary Loan Survey. For each library, there is a sampling interval listed for both borrowing and lending. This indicates the interval between tagging a request and tagging the next request for monitoring purposes. These intervals were designed from the available statistics (primarily state library statistics and other library sources). If you find that the sampling measure used for your library is unreasonable, either because of the high volume which you process or because of the limited volume processed, please notify either Maryann Kevin Brown or Anita McHugh at (303) 492-8188 (call collect). We will then arrange for a different sampling interval.

| INSTITUTION | SAMPLING INTERVAL FOR: BORROWING REQUESTS | LENDING REQUESTS |
|---|---|---|
| **Large Academic Libraries** | | |
| University of Arizona | 1/10 | 1/10 |
| Arizona State University | 1/5 | 1/5 |
| Brigham Young University | 1/10 | 1/10 |
| University of British Columbia | 1/10 | 1/10 |
| University of California, Davis | 1/10 | 1/10 |
| University of California, San Diego | 1/10 | 1/10 |
| University of California, Santa Barbara | 1/10 | 1/5 |
| *University of Colorado | 1/20 | 1/20 |
| Colorado State University | 1/10 | 1/10 |
| University of Hawaii | 1/10 | 1/10 |
| *University of Nebraska | 1/5 | 1/10 |
| University of Southern California | 1/5 | 1/10 |
| University of Utah | 1/10 | 1/10 |
| University of Washington | 1/10 | 1/20 |
| Washington State University | 1/5 | 1/5 |
| **Other Academic Libraries** | | |
| University of Alaska, Ketchikan Comm. College | 1/5 | every one |
| Navajo Community College | every one | every one |
| American River College | 1/5 | every one |
| California State College, Dominguez Hills | 1/5 | every one |
| California State University, Sacramento | 1/5 | 1/5 |
| Compton Community College | every one | every one |
| San Francisco State University | 1/5 | 1/5 |
| Montana State University | 1/5 | 1/5 |
| New Mexico State University, San Juan | every one | every one |
| Bismark Junior College | every one | every one |
| Valley City State College | every one | every one |
| Clatsop Community College | every one | every one |
| Western Wyoming Community College | every one | every one |
| Laramie County Community College | every one | every one |
| Western New Mexico University | every one | every one |
| Lamar Community College | every one | every one |
| Palomar College (California) | 1/5 | 1/5 |
| El Paso Community College (Colorado) | 1/5 | 1/5 |

| INSTITUTION | SAMPLING INTERVAL FOR: BORROWING REQUESTS | LENDING REQUESTS |
|---|---|---|
| **Large Public Libraries** | | |
| Phoenix Public Library | 1/5 | 1/20 |
| Riverside Public Library | 1/5 | every one |
| Denver Public Library | 1/5 | 1/20 |
| King County Library System | 1/10 | 1/10 |
| Santa Clara County Library | 1/10 | 1/10 |
| Oakland | 1/20 | 1/20 |
| San Francisco | 1/20 | 1/20 |
| **Other Regional Libraries** | | |
| Weld County Library | every one | 1/10 |
| Coeur d'Alene Public Library | 1/5 | 1/10 |
| Great Falls Public Library | 1/5 | 1/5 |
| Scottsbluff Public Library | 1/5 | 1/5 |
| Sno Isle Regional Library | 1/5 | 1/5 |
| Cochise County Library | 1/5 | 1/5 |
| Washoe County Library | 1/10 | 1/10 |
| Billings Public Library | 1/5 | 1/5 |
| **Other Public Libraries** | | |
| Roseville Public Library | every one | every one |
| Sheridan County Free Library | every one | every one |
| Wichita County Public Library | every one | every one |
| St. Johns Public Library | every one | every one |
| Clearwater Memorial Library | every one | every one |
| Deadwood Public Library | every one | every one |
| Forest Grove Public Library | every one | every one |
| Santa Clara Public Library | 1/5 | 4/5 |
| Lincoln City Public Library | every one | every one |
| Bennett County Library | every one | every one |
| Minnehaha County Library | every one | every one |
| **State Libraries** | | |
| Alaska State Library | every one | 1/10 |
| Arizona State Library | every one | 1/10 |
| California State Library | every one | 1/20 |
| Colorado State Library | every one | every one |
| Hawaii State Library | every one | 1/10 |
| Idaho State Library | every one | 1/10 |
| Montana State Library | every one | 1/5 |
| Nebraska State Library Commission | every one | 1/10 |
| Nevada State Library | every one | 1/10 |
| Oregon State Library | every one | 1/20 |
| New Mexico State Library | every one | 1/10 |
| North Dakota State Library | every one | 1/10 |
| South Dakota State Library Commission | every one | 1/10 |
| Utah State Library Commission | every one | 1/20 |
| Washington State Library | every one | 1/20 |

## APPENDIX G

## ILL SURVEY INSTRUMENTS AND PROCEDURES

- -

Form 8: Interlibrary Loan Borrower's Transaction Log

Form 8A: Interlibrary Loan Borrower's Transaction Log

Form 9: Interlibrary Loan Lender's Transaction Log

Form 9A: Interlibrary Loan Lender's Transaction Log

INTERLIBRARY LOAN BORROWER'S TRANSACTION LOG FORM #B

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING ON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 125FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AND RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302.

LIBRARY _____ (8-10)
TRANSACTION B# _____ (11-18)

DATE OF PATRON REQUEST __/__/__ (19-22)
DATE OF DISPOSITION __/__/__ (23-26)

I. PUBLICATION DATA

A. Type of publication (check one) (27)
( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)
_____

B. Publication date: _____ (28-35)

C. Language(s) (36)
( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)
_____

D. Call number (if known) _____ (37-42)

II. REQUESTED FROM

_____ (agency name)

A. Reason for choice of this agency (check one) (43)
( ) 1. known to have this item (of personal knowledge)
( ) 2. union catalog indicates agency has item
( ) 3. agency likely to have this item, you think
( ) 4. your ILL procedures specify this agency to be used
( ) 5. other (specify)
_____

B. What type of agency is this? (check one) (44)
( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)
_____

C. Location of this library (45,46)
( ) 1. within your state
( ) 2. in another state (specify)
_____
( ) 3. within 25 miles of your library
( ) 4. within 100 miles of your library

D. Request sent by: (47)
( ) 1. telephone
( ) 2. teletype
( ) 3. mail
( ) 4. other (specify)
_____

III. VERIFICATION OF REQUEST

A. Did patron verify this request? (48)
( ) 1. yes
( ) 2. no

B. This request was verified in: (49)
( ) 1. NUC
( ) 2. BIP
( ) 3. local/regional union catalog
( ) 4. on-line catalog (e.g. BALLOTS, OCLC)
( ) 5. other (specify)
_____
( ) 6. this request was not verified

IV. FORM OF LOAN REQUESTED (50)
( ) A. Original
( ) B. Microform
( ) C. Duplicate/photocopy
( ) D. Other (specify)
_____

V. OUTCOME
( ) A. Filled (51)
Delivered by: (52)
( ) 1. mail
( ) 2. courier
( ) 3. other (specify)
_____

( ) B. Unfilled (53)
Was this request re-requested? (54)
( ) 1. yes
( ) 2. no

( ) C. Pending (55)

PLEASE INDICATE BELOW THE TIME SPENT IN RECEIVING THIS REQUEST FROM THE PATRON, AND ASSISTANCE TO THE PATRON, VERIFICATION OF THIS REQUEST, AND LOCATING A LENDING AGENCY. ENTER YOUR EMPLOYEE ID NUMBER IN THE SPACE PROVIDED FOR THE TASK WHICH YOU PERFORM. IF MORE THAN ONE EMPLOYEE PERFORMS THE SAME TASK FOR THIS REQUEST, EMPLOYEE ID NUMBERS FOR EACH STAFF MEMBER PERFORMING THE TASK SHOULD BE ENTERED, AND THE TIME SPENT BY EACH NOTED SEPARATELY.

| TASK | TIME (in minutes) (56-58,64-66,72-74) | EMPLOYEE ID NUMBER (59-63,67-71,75-79) |
|---|---|---|
| 1. receiving request and assistance to patron | | |
| 2. bibliographic verification | | |
| 3. determine location(if not a part of (2) above) | | |

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INTERLIBRARY LOAN TRANSACTION LOG -- DEFINITIONS

PUBLICATION DATA

1. GOVERNMENT DOCUMENT: A publication produced by an international, federal, state or local governmental agency or a joint publication of any combination of these. This may be in book or serial form bearing a government imprint.

2. TECHNICAL JOURNAL: A journal (which is not a government document) which is directed to a specific group of persons involved in a specific field of research; a journal which may be produced by a technically oriented organization and may contain more than one technical report.

3. TECHNICAL REPORT: A report (not a government document) based on research in a specific field and directed to other members of that field.

4. OTHER NON-FICTION: Printed works, other than the above, which are factually based. This does not include periodicals, or fiction such as novels, poetry, children's stories, etc.

5. CLASSICAL FICTION: Works of Greek and Latin authors.

6. POPULAR FICTION: Include here all non-classical adult fiction.

7. NON-TECHNICAL/POPULAR PERIODICAL: A periodical which is indexed in a common general index, such as Readers' Guide.

8. AUDIO AND/OR VISUAL MATERIAL: Nonbook library materials which may require the use of special equipment in order to be seen and/or heard (e.g. motion pictures, audio recordings, filmstrips, slides, overhead transparencies, and mixed media kits). Some do not require special equipment in order to be seen and/or heard (e.g. flat pictures, study prints, maps, charts and games.

9. OTHER: All materials which do not in any logical manner fit into the above categories.

TYPE OF LIBRARY

1. ACADEMIC LIBRARY: A general library that serves an academic community, such as a university, college, or community college and receives its financial support in part or in whole from the academic insititution to which it is associated.

2. SPECIAL LIBRARY: A service organized to make desirable information available to a particular organization or limited group. Usually such a library is attached to a business, firm, commission, etc.

3. REGIONAL HEADQUARTERS: Usually a public library designated by the state or region as a central processor or switching center for interlibrary loan requests from the libraries in that region.

4. OTHER PUBLIC LIBRARY: A library that serves free all residents of a community, district or region and receives its financial support in whole or part from public funds. This includes state libraries, as well. Do not include, however, regional libraries, that fall into category (3).

5. BIBLIOGRAPHIC CENTERS: A center which processes for the requester interlibrary loans. Such centers include the Bibliographical Center for Research, Denver and the Pacific Northwest Bibliographic Center, Seattle.

6. OTHER: Include here only libraries or agencies which do not fall into the above categories, for example, school libraries.

TASKS

1. RECEIVING REQUEST AND ASSISTANCE TO PATRON: The patron makes a request for materials not owned by the library. The catalog may be searched to verify that the library does not own the item requested. The patron may be queried as to source, where this citation was found, date request is necessary.

2. BIBLIOGRAPHIC VERIFICATION: The request is searched to verify entry, and corrected as appropriate. Source of verification is noted on the request. Further description, and page numbers (if the request is for an article) are noted on the description as necessary.

3. DETERMINE LOCATION: If this task is not incorporated into bibliographic verification, sources such as NUC, union lists, etc. are searched to find an appropriate lender. An automated data base such as OCLC may also be searched to locate a lender.

INTERLIBRARY LOAN BORROWER'S TRANSACTION LOG

FORM #BA

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING ON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 125FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AND RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302.

LIBRARY _____ (6-10)
TRANSACTION B# _____ (11-18)

DATE OF PATRON REQUEST __/__/__ (19-22)
DATE OF DISPOSITION __/__/__ (23-26)

I. PUBLICATION DATA

A. Type of publication (check one) (27)
( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)
_____

B. Publication date: _____ (28-35)

C. Language(s) (36)
( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)
_____

D. Call number (if known): _____ (37-42)

II. REQUESTED FROM

_____ (agency name)

A. Reason for choice of this agency (check one) (43)
( ) 1. known to have this item (of personal knowledge)
( ) 2. union catalog indicates agency has item
( ) 3. agency likely to have this item, you think
( ) 4. your ILL procedures specify this agency to be used
( ) 5. other (specify)
_____
_____

B. What type of agency is this? (check one) (44)
( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)
_____

C. Location of this library (45,46)
( ) 1. within your state
( ) 2. in another state (specify)
_____
( ) 3. within 25 miles of your library
( ) 4. within 100 miles of your library

D. Request sent by: (47)
( ) 1. telephone
( ) 2. teletype
( ) 3. mail
( ) 4. other (specify)
_____

III. VERIFICATION OF REQUEST

A. Did patron verify this request? (48)
( ) 1. yes
( ) 2. no

B. This request was verified in: (49)
( ) 1. NUC
( ) 2. BIP
( ) 3. local/regional union catalog
( ) 4. on-line catalog (e.g. BALLOTS, OCLC)
( ) 5. other (specify)
_____
( ) 6. this request was not verified

IV. FORM OF LOAN REQUESTED (50)
( ) A. Original
( ) B. Microform
( ) C. Duplicate/photocopy
( ) D. Other (specify)
_____

V. OUTCOME
( ) A. Filled (51)
Delivered by: (52)
( ) 1. mail
( ) 2. courier
( ) 3. other (specify)
_____
( ) B. Unfilled (53)
was this request re-requested: (54)
( ) 1. yes
( ) 2. no

( ) C. Pending (55)

INTERLIBRARY LOAN TRANSACTION LOG -- DEFINITIONS

PUBLICATION DATA

1. GOVERNMENT DOCUMENT: A publication produced by an international, federal, state or local governmental agency, or a joint publication of any combination of these. This may be in book or serial form bearing a government imprint.
2. TECHNICAL JOURNAL: A journal (which is not a government document) which is directed to a specific group of persons involved in a specific field of research; a journal which may be produced by a technically oriented organization and may contain more than one technical report.
3. TECHNICAL REPORT: A report (not a government document) based on research in a specific field and directed to other members of that field.
4. OTHER NON-FICTION: Printed works, other than the above, which are factually based. This does not include periodicals, or fiction such as novels, poetry, children's stories, etc.
5. CLASSICAL FICTION: Works of Greek and Latin authors.
6. POPULAR FICTION: Include here all non-classical adult fiction.
7. NON-TECHNICAL/POPULAR PERIODICAL: A periodical which is indexed in a common general index, such as Readers' Guide.
8. AUDIO AND/OR VISUAL MATERIAL: Nonbook library materials which may require the use of special equipment in order to be seen and/or heard (e.g. motion pictures, audio recordings, filmstrips, slides, overhead transparencies, and mixed media kits). Some do not require special equipment in order to be seen and/or heard (e.g. flat pictures, study prints, maps, charts and games.
9. OTHER: All materials which do not in any logical manner fit into the above categories.

TYPE OF LIBRARY

1. ACADEMIC LIBRARY: A general library that serves an academic community, such as a university, college, or community college and receives its financial support in part or in whole from the academic insititution to which it is associated.
2. SPECIAL LIBRARY: A service organized to make desirable information available to a particular organization or limited group. Usually such a library is attached to a business, firm, commission, etc.
3. REGIONAL HEADQUARTERS: Usually a public library designated by the state or region as a central processor or switching center for interlibrary loan requests from the libraries in that region.
4. OTHER PUBLIC LIBRARY: A library that serves free all residents of a community, district or region and receives its financial support in whole or part from public funds. This includes state libraries, as well. Do not include, however, regional libraries, that fall into catenory (3).
5. BIBLIOGRAPHIC CENTERS: A center which processes for the requester interlibrary loans. Such centers include the Bibliographical Center for Research, Denver and the Pacific Northwest Bibliographic Center, Seattle.
6. OTHER: Include here only libraries or agencies which do not fall into the above catenories, for example, school libraries.

INTERLIBRARY LOAN LENDER'S TRANSACTION LOG

FORM #9

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING UPON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 125 FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AND RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302

LIBRARY _____ (8-10) CHECK HERE IF THIS IS A REGIONAL REQUEST _____ (18)

TRANSACTION L# _____ (11-17)

DATE REQUEST RECEIVED BY YOUR LIBRARY __/__/__

DATE OF DISPOSITION __/__/__ (23-26) (19-22)

I. ITEM REQUESTED

A. Type of item (check one) (27)

( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)

_____

B. Publication date: _____ (28-35)

C. Language(s) (36)

( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)

_____

( ) 8. Unknown

D. Call number: _____ (37-42)

II. REQUESTING LIBRARY:

_____ (library name)

A. What type of library is this? (check one) (44)

( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)

_____

B. Where is this library located? (46)

( ) 1. within 25 miles of your library
( ) 2. within 100 miles of your library
( ) 3. within 400 miles of your library
( ) 4. over 400 miles of your library

C. Request received by: (47)

( ) 1. Telephone
( ) 2. Teletype
( ) 3. Mail
( ) 4. Other (specify)

_____

III. DID YOU NEED TO RE-VERIFY ITEM REQUESTED?

( ) 1. Yes
( ) 2. No

IV. DISPOSITION OF REQUEST

( ) A. Filled (51)

Form of loan made:

( ) 1. original
( ) 2. microform
( ) 3. duplicate/photocopy
( ) 4. other (specify)

_____

Sent by: (52)

( ) 5. mail
( ) 6. courier
( ) 7. other (specify)

_____

( ) B. Unfilled

Reason: (53)

( ) 1. could not identify
( ) 2. item not owned
( ) 3. item in use
( ) 4. non-circulating
( ) 5. other (specify)

_____

Disposition of request: (54)

( ) 6. passed to another library
( ) 7. returned to sender
( ) 8. other (specify)

_____

( ) C. Pending (55)

INDICATE BELOW THE TIME SPENT IN RECEIVING, VERIFYING, AND CHECKING CATALOG FOR LOCATION OF THIS ITEM REQUESTED. ENTER YOUR EMPLOYEE ID NUMBER IN THE SPACE PROVIDED FOR THE TASK WHICH YOU PERFORM. IF MORE THAN ONE EMPLOYEE PERFORMS THE SAME TASK FOR THIS REQUEST, EMPLOYEE ID NUMBERS FOR EACH STAFF MEMBER PERFORMING THE TASK SHOULD BE ENTERED, AND THE TIME SPENT BY EACH SHOULD BE NOTED SEPARATELY.

| TASK | TIME (in minutes) (56-58, 64-66, 72-74) | EMPLOYEE ID NUMBER (59-63, 67-71, 75-79) |
|---|---|---|
| 1. bibliographic verification | | |
| 2. checking catalog, locating | | |
| 3. checking for/in periodicals, vertical files, books | | |

INTERLIBRARY LOAN TRANSACTION LOG -- DEFINITIONS

PUBLICATION DATA

1. GOVERNMENT DOCUMENT: A publication produced by an international, federal, state or local governmental agency or a joint publication of any combination of these. This may be in book or serial form bearing a government imprint.

2. TECHNICAL JOURNAL: A journal (which is not a government document) which is directed to a specific group of persons involved in a specific field of research; a journal which may be produced by a technically oriented organization and may contain more than one technical report.

3. TECHNICAL REPORT: A report (not a government document) based on research in a specific field and directed to other members of that field.

4. OTHER NON-FICTION: Printed works, other than the above, which are factually based. This does not include periodicals, or fiction such as novels, poetry, children's stories, etc.

5. CLASSICAL FICTION: Works of Greek and Latin authors.

6. POPULAR FICTION: Include here all non-classical adult fiction.

7. NON-TECHNICAL/POPULAR PERIODICAL: A periodical which is indexed in a common general index, such as Readers' Guide.

8. AUDIO AND/OR VISUAL MATERIAL: Nonbook library materials which may require the use of special equipment in order to be seen and/or heard (e.g. motion pictures, audio recordings, filmstrips, slides, overhead transparencies, and mixed media kits). Some do not require special equipment in order to be seen and/or heard (e.g. flat pictures, study prints, maps, charts and games.

9. OTHER: All materials which do not in any logical manner fit into the above categories.

TYPE OF LIBRARY

1. ACADEMIC LIBRARY: A general library that serves an academic community, such as a university, college, or community college and receives its financial support in part or in whole from the academic institution to which it is associated.

2. SPECIAL LIBRARY: A service organized to make desirable information available to a particular organization or limited group. Usually such a library is attached to a business, firm, commission, etc.

3. REGIONAL HEADQUARTERS: Usually a public library designated by the state or region as a central processor or switching center for interlibrary loan requests from the libraries in that region.

4. OTHER PUBLIC LIBRARY: A library that serves free all residents of a community, district or region and receives its financial support in whole or part from public funds. This includes state libraries, as well. Do not include, however, regional libraries, that fall into category (3).

5. BIBLIOGRAPHIC CENTER: A center which processes for the requester interlibrary loans. Such centers include the Bibliographical Center for Research, Denver and the Pacific Northwest Bibliographic Center, Seattle.

6. OTHER: Include here only libraries or agencies which do not fall into the above categories, for example, school libraries.

TASKS

1. BIBLIOGRAPHIC VERIFICATION: The request is checked to insure appropriate entry and description.

2. CHECKING CATALOG, LOCATING: The library catalog is searched to locate the title or item requested. The call number or location is noted on the request.

3. CHECKING SERIALS, PERIODICALS CATALOG/KARDEX: Serials/periodicals kardex or list is checked to verify that the library holds the item requested. The call number or location is noted on the request.

INTERLIBRARY LOAN LENDER'S TRANSACTION LOG

FORM #9 A

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING UPON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 125 FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AND RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302

LIBRARY _____ (8-10) CHECK HERE IF THIS IS A REGIONAL REQUEST _____ (18)

TRANSACTION L# _____ (11-17)

DATE REQUEST RECEIVED BY YOUR LIBRARY ___/___/___ (19-22)

DATE OF DISPOSITION ___/___/___ (23-26)

I. ITEM REQUESTED

A. Type of item (check one) (27)

( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)

_____

B. Publication date: _____ (28-35)

C. Language(s) (36)

( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)

_____

( ) 8. Unknown

D. Call number: _____ (37-42)

II. REQUESTING LIBRARY:

_____ (library name)

A. What type of library is this? (check one) (44)

( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)

_____

B. Where is this library located? (46)

( ) 1. within 25 miles of your library
( ) 2. within 100 miles of your library
( ) 3. within 400 miles of your library
( ) 4. over 400 miles of your library

C. Request received by: (47)

( ) 1. Telephone
( ) 2. Teletype
( ) 3. Mail
( ) 4. Other (specify)

_____

III. DID YOU NEED TO RE-VERIFY ITEM REQUESTED?

( ) 1. Yes
( ) 2. No

IV. DISPOSITION OF REQUEST

( ) A. Filled (51)

Form of loan made:

( ) 1. original
( ) 2. microform
( ) 3. duplicate/photocopy
( ) 4. other (specify)

_____

Sent by: (52)

( ) 5. mail
( ) 6. courier
( ) 7. other (specify)

_____

( ) B. Unfilled

Reason: (53)

( ) 1. could not identify
( ) 2. item not owned
( ) 3. item in use
( ) 4. non-circulating
( ) 5. other (specify)

_____

Disposition of request:(54

( ) 6. passed to another libra
( ) 7. returned to sender
( ) 8. other (specify)

_____

( ) C. Pending (55)

INTERLIBRARY LOAN TRANSACTION LOG -- DEFINITIONS

PUBLICATION DATA

1. GOVERNMENT DOCUMENT: A publication produced by an international, federal, state or local governmental agency or a joint publication of any combination of these. This may be in book or serial form bearing a government imprint.

2. TECHNICAL JOURNAL: A journal (which is not a government document) which is directed to a specific group of persons involved in a specific field of research; a journal which may be produced by a technically oriented organization and may contain more than one technical report.

3. TECHNICAL REPORT: A report (not a government document) based on research in a specific field and directed to other members of that field.

4. OTHER NON-FICTION: Printed works, other than the above, which are factually based. This does not include periodicals, or fiction such as novels, poetry, children's stories, etc.

5. CLASSICAL FICTION: Works of Greek and Latin authors.

6. POPULAR FICTION: Include here all non-classical adult fiction.

7. NON-TECHNICAL/POPULAR PERIODICAL: A periodical which is indexed in a common general index, such as Readers' Guide.

8. AUDIO AND/OR VISUAL MATERIAL: Nonbook library materials which may require the use of special equipment in order to be seen and/or heard (e.g. motion pictures, audio recordings, filmstrips, slides, overhead transparencies, and mixed media kits). Some do not require special equipment in order to be seen and/or heard (e.g. flat pictures, study prints, maps, charts and games.

9. OTHER All materials which do not in any logical manner fit into the above categories.

TYPE OF LIBRARY

1. ACADEMIC LIBRARY: A general library that serves an academic community, such as a university, college, or community college and receives its financial support in part or in whole from the academic insititution to which it is associated.

2. SPECIAL LIBRARY: A service organized to make desirable information available to a particular organization or limited group. Usually such a library is attached to a business, firm, commission, etc.

3. REGIONAL HEADQUARTERS: Usually a public library designated by the state or region as a central processor or switching center for interlibrary loan requests from the libraries in that region.

4. OTHER PUBLIC LIBRARY: A library that serves free all residents of a community, district or region and receives its financial support in whole or part from public funds. This includes state libraries, as well. Do not include, however, regional libraries, that fall into category (3).

5. BIBLIOGRAPHIC CENTERS: A center which processes for the requester interlibrary loans. Such centers include the Bibliographical Center for Research, Denver and the Pacific Northwest Bibliographic Center, Seattle.

6. OTHER: Include here only libraries or agencies which do not fall into the above categories, for example, school libraries

## ILL PROCEDURES

### TRANSACTION LOGS AND EXPLANATION

As a staff member, student assistant, or volunteer within interlibrary loan, you will be participating in a study of interlibrary loan traffic in the western states. You will be asked to record various types of information on every _____ request, both lending and borrowing, which are received by your library during a three-week period. This information includes type of material requested, call numer if known, date of publication requested, type of library from which or to which this request is sent, and the outcome of the request. There are two log sheets -- a green one for borrowing requests and a yellow one for lending requests. If you handle a request with one of these sheets attached, you should complete any information which you can.

#### Borrowing Requests

The following illustrates the use of the borrowing log sheet to be filled out on every _____ request received by your department from a patron for an item owned by another library. Basically, the staff member records what information s/he can on any tagged request. The following description is keyed to the sample filled-in log sheet on the following pages.

(1) Library: Please give the name of the library in which you are employed.

(2) Transaction B#: If your library numbers its borrowing requests, then this number should be used here. If your library does not normally number its requests, an arbitrary and unique number should be assigned to all requests tagged during the three-week interval that your interlibrary loan transactions are monitored.

(3) Date of patron request: Enter here the date (month, day and year) that the patron requested this item through interlibrary loan.

(4) Date of disposition: Enter here the date (month, day and year) that the requested item was received by the library, or the date that the library from which this item was requested informed your library it would be unable to supply this item.

(5) Type of publication: Check the type of publication (e.g. government document) that describes the item requested.

(6) Date of publication: Enter here the date of publication for the item requested. For monographs, the year of publication is sufficient. For serials or periodicals, give the month and year of publication if applicable.

(6a) Language: Enter here the language in which the requested item was published.

(7) Call number: If you can determine the call number of this publication please indicate this in the space provided.

(8) Requested from: Enter here the name of the library, agency or bibliographic center from which this item was requested. Please give a formal name or abbreviation whereby we can identify the institution.

(9) Reason for choice of this agency: Please check the item which most closely approximates the reason you selected this library, agency or bibliographic center as a potential lender.

(10) What type of agency is this: Please check the type of agency from which you requested this item.

(11) Location of this library: Please check as many as apply to the location of this agency in relation to the location of your library.

(12) Request sent by: Please indicate the method in which you communicated this request to the agency from which it was requested.

(13) Did patron verify this request: Indicate whether the request of the item as received by your library was properly verified by the patron.

(14) This request was verified in: Please indicate in what source this title or item was verified. You may wish to use the ° and / method to indicate where the item was searched and also where it was found.

(15) Form of loan requested: Indicate here the form of loan -- original, microform, duplicate/photocopy or other -- requested by your library.

(16) Outcome: Indicate whether the item is filled (A), unfilled (B) or pending (C).

(17) Filled: Delivered by: If the request is filled (i.e. item (A) has been checked), please indicate the method of delivery used -- mail, courier or other.

(18) Unfilled: Was the item re-requested: If this request was not filled (i.e. item (B) has been checked), indicate whether you intend to request this item from another institution.

After this request has been completed (filled or unfilled), or after 30 days from initiation of this request, whichever is first, please return this request to the designated staff member who is responsible for collecting forms within your library. If you need to remove the original request and documentation for this request for your library files, please attach a photocopy of the request to this form. The standard ALA form or other standard form is sufficient.

INTERLIBRARY LOAN BORROWER'S TRANSACTION LOG

FORM #1A

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING ON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 12 FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AN RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302.

(1) LIBRARY _____ (6-10)

(2) TRANSACTION #: _____ (11-14)

(3) DATE OF PATRON REQUEST _____ (19-22)

(4) DATE OF DISPOSITION _____ (23-26)

I. PUBLICATION DATA

(5) A. Type of publication (check one) (27)
( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)

(6) B. Publication date _____ (28-31)

(6a) C. Language(s) (36)
( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)

(7) D. Call number (if known) _____ (37-42)

II. REQUESTED FROM

(8) _____ [agency name]

(9) A. Reason for choice of this agency (check one) (43)
( ) 1. known to have this item (of personal knowledge)
( ) 2. union catalog indicates agency has item
( ) 3. agency likely to have this item, you think
( ) 4. your ILL procedures specify this agency to be used
( ) 5. other (specify)

(10) B. What type of agency is this? (check one) (44)
( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)

(11) C. Location of this library (check one)
( ) 1. within your state
( ) 2. in another state (specify)
( ) 3. within 250 miles of your library
( ) 4. within 100 miles of your library

(12) Request sent by (47)
( ) 1. mail
( ) 2. telex/twx
( ) 3. call
( ) 4. other (specify)

III. VERIFICATION OF REQUEST

(13) A. Did patron verify this request? (48)
( ) 1. yes
( ) 2. no

(14) B. This request was verified in: (49)
( ) 1. NUC
( ) 2. BIP
( ) 3. local/regional union catalog
( ) 4. on-line catalog (e.g. BALLOTS, OCLC)
( ) 5. other (specify)
( ) 6. this request was not verified

IV. FORM OF LOAN REQUESTED (50)

(15) ( ) A. Original
( ) B. Microform
( ) C. Duplicate/photocopy
( ) D. Other (specify)

(16) V. OUTCOME
( ) A. Filled (51)

(17) Delivered by: (52)
( ) 1. mail
( ) 2. courier
( ) 3. other (specify)

(18) ( ) B. Unfilled (53)
Was this request re-requested? (54)
( ) 1. yes
( ) 2. no

( ) C. Pending (55)

Lending Requests

The following illustrates the use of the lending log sheet to be filled out on every _____request received by your department from another library or agency for an item owned by your library. Basically, the staff member records what information s/he can on any tagged request. The following description is keyed to the sample filled-in log sheet on the following pages.

(1) Library: Please give the name of the library in which you are employed.

(2) Transaction #: If your library numbers its lending requests, then this number should be used here. If your library does not normally number the requests it receives, an arbitrary and unique number should be assigned to all requests tagged during the three-week interval that your interlibrary loan transactions are monitored.

(3) Check here if this is a regional request: If your library acts as a regional library within your state and this request was received in your role as a regional library, check here.

(4) Date request received by your library: Enter here the date (month, day and year) that your library received this request through interlibrary loan.

(5) Date of disposition: Enter here the date (month, day and year) that your library responded to this request, either by sending the requested item to the requesting library or by replying that the item was not available through your library.

(6) Type of publication: Check the type of publication (e.g. government document) that describes the item requested.

(7) Date of publication: Enter here the date of publication for the item requested. For monographs, the year of publication is sufficient. For serials or periodicals, give the month and year of publication if applicable.

(8) Language: Enter here the language in which the requested item was published.

(9) Call number: If you can determine the call number of this publication please indicate this in the space provided.

(10) Requesting Library: Enter here the name of the library, agency or bibliographic center which requested this item. Please give a formal name or abbreviation whereby we can identify the institution.

(11) What type of agency is this: Please check the type of agency which requested this item.

(12) Where is this library located: Please check the approximate distance of this agency from the location of your library.

(13) Request received by: Please indicate the method in which this request was communicated to your library.

(14) Did you need to re-verify this request: Indicate whether the request of the item as received by your library needed further verification on the part of your library.

(15) Outcome: Indicate whether the item is filled (A), unfilled (B) or pending (C).

(16) Filled: Form of loan made: If the request is filled (i.e. item (A) has been checked), indicate here the form of loan -- original, microform, duplicate/photocopy or other -- made by your library.

(17) Filled: Sent by: If the request is filled (i.e. item (A) has been checked), please indicate the method of delivery used -- mail, courier or other.

(18) Unfilled: Reason: If this request was not filled (i.e. Item (B) has been checked), indicate the reason your library was unable to supply the requested material.

(19) Unfilled: Disposition of request: If this request was not filled (i.e. Item (B) has been checked) please indicate what your library did with request (e.g. forwarded to another library, returned to sender, etc.).

After this request has been completed (filled or unfilled), or after 30 days from the receipt of this request by your library, whichever is first, please return this request to the designated staff member who is responsible for collecting forms within your library. If you need to remove the original request and documentation for this request for your library files, please attach a photocopy of the request to this form. The standard ALA form or other standard form is sufficient.

NTERLIBRARY LOAN LENDER'S TRANSACTION LOG

FORM #9 A

THIS FORM SHOULD BE ATTACHED TO EVERY FIRST, FIFTH OR TENTH ILL REQUEST (DEPENDING UPON YOUR VOLUME OF ACTIVITY) RECEIVED FROM A PATRON OF YOUR LIBRARY FOR MATERIALS HELD BY ANOTHER LIBRARY, DURING A THREE WEEK PERIOD. STOP AFTER COMPLETING 10 FORMS, OR AFTER THREE WEEKS, WHICHEVER IS FIRST. PLEASE COMPLETE THIS FORM AS FULLY AS POSSIBLE. AFTER 30 DAYS FROM THE DATE OF PATRON REQUEST, OR WHEN THE REQUEST IS COMPLETED, WHICHEVER IS FIRST, ATTACH A PHOTOCOPY OF THIS REQUEST TO THIS FORM AND RETURN TO: M.K. BROWN, WESTERN NETWORK PROJECT, WICHE, P.O. DRAWER P, BOULDER, COLORADO, 80302

(1) LIBRARY _____ (8-10)

TRANSACTION L= _____ (11-17)

(3) CHECK HERE IF THIS IS A REGIONAL REQUEST _____ (18)

(4) DATE REQUEST RECEIVED BY YOUR LIBRARY ___/___/___

(5) DATE OF DISPOSITION ___/___/___ (23-26) (19-22)

I. ITEM REQUESTED

(6) A. Type of item (check one) (27)

( ) 1. government document
( ) 2. technical journal
( ) 3. technical report
( ) 4. other non-fiction
( ) 5. classical fiction
( ) 6. popular fiction
( ) 7. non-technical/popular periodical
( ) 8. audio and/or visual material
( ) 9. other (specify)

_____

(7) B. Publication date: _____ (28-35)

(8) C. Language(s) (36)

( ) 1. English
( ) 2. German
( ) 3. French
( ) 4. Russian
( ) 5. Spanish
( ) 6. Italian
( ) 7. Other (specify)

_____

( ) 8. Unknown

(9) D. Call number _____ (37-42)

(10) II. REQUESTING LIBRARY:

_____ (library name)

(11) A. What type of library is this? (check one) (44)

( ) 1. academic library
( ) 2. special library
( ) 3. regional headquarters
( ) 4. other public library
( ) 5. bibliographic center
( ) 6. other (specify)

_____

(12) B. Where is this library located? (46)

( ) 1. within 25 miles of your library
( ) 2. within 100 miles of your library
( ) 3. within 400 miles of your library
( ) 4. over 400 miles of your library

(13) C. Request received by: (47)

( ) 1. Telephone
( ) 2. Teletype
( ) 3. Mail
( ) 4. Other (specify)

_____

(14) III. DID YOU NEED TO RE-VERIFY ITEM REQUESTED?

( ) 1. Yes
( ) 2. No

(15) IV. DISPOSITION OF REQUEST

( ) A. Filled (51)

(16) Form of loan made:

( ) 1. original
( ) 2. microform
( ) 3. duplicate/photocopy
( ) 4. other (specify)

_____

(17) Sent by: (52)

( ) 5. mail
( ) 6. courier
( ) 7. other (specify)

_____

(18) ( ) B. Unfilled

Reason: (53)

( ) 1. could not identify
( ) 2. item not owned
( ) 3. item in use
( ) 4. non-circulating
( ) 5. other (specify)

_____

(19) Disposition of request: (54)

( ) 6. passed to another library
( ) 7. returned to sender
( ) 8. other (specify)

_____

( ) C. Pending (55)

APPENDIX H

WESTERN NETWORK NEWSLETTER No. 2

# WESTERN NETWORK NEWSLETTER

March 1976 No. 2 ISSN: 0360-4764

## STEERING COMMITTEE MEETING

The first of two scheduled Western Network Steering Committee meetings convened in Boise, Idaho on February 2-3, 1976, under the Chairmanship pro tem of Dr. Ernest Hartung, President, University of Idaho. Traveling a total of 22,000 miles from all corners of the West, the Steering Committee:

- Reaffirmed the need for a Western Network, and requested that the Project staff prepare a long-range plan for the Network's establishment and operation. The Committee suggested several projects for the immediate future and endorsed the staff's effort to provide bibliographic products and services on a pilot basis.
- Endorsed the staff's submission of proposals to funding agencies for projects that are consonant with the Western Network long-range plan.
- Reaffirmed that the Western Network be based on state-level funding and participation representing all types of libraries, with the objectives of strengthening intrastate library organization, cooperation and self-sufficiency while facilitating interstate resource sharing on an equitable basis. Funding for Fiscal Year 1977 for the Network will be sought through state and institutional membership fees, and future support may be requested from the state legislatures.
- Moved that a proposal be submitted to the WICHE Commissioners to establish, under the WICHE aegis, a Directorate with its own governing board for the Western Network.
- Elected an Executive Board and Chairwoman to meet with the Project staff in developing plans and programs for Steering Committee approval.

An Executive Board of the Steering Committee was unanimously elected. Dr. Joanne E. Arnold, a WICHE Commissioner and Acting Vice-Chancellor for Faculty and Staff Affairs of the University of Colorado, is Chairwoman of the Board and the Committee. Other Board members are: H. Vince Anderson, Director of the South Dakota State Library Commission; Gerald A. Rudolph, Dean of Libraries of the University of Nebraska; Roderick G. Swartz, Washington State Librarian; and David C. Weber, Director of University Libraries of Stanford University. The Board will work closely with the Project staff, and has scheduled meetings on a monthly basis during the organizational period for the Network.

All Steering Committee members (listed in Western Network Newsletter, No. 1) were present except for two state librarians who at the last minute were called to attend legislative sessions and an ARL director who was ill and sent a representative. In addition to the Project staff attending (Maryann Duggan, Eleanor Montague and Karl Pearson), the Committee benefited from the presence of Dr. Kevin Bunnell, General Regional Programs Director of WICHE; Alphonse Trezza, Executive Director for the National Commission on Libraries and Information Science (NCLIS); T. John Metz, Executive Director of the Midwest Regional Library Network (MIDLNET); and Oscar Miller, Head Law Librarian of the University of Colorado. Several observers were present, including Eloise Ebert, Oregon State Librarian, William Hayes, Director of the Boise Public Library, and other Idaho librarians.



Western Interstate Commission for Higher Education

## UNION LIST OF MONTANA SERIALS

Erling Oelz, Director of Public Services, University of Montana Library, and also head of a Montana Library Association committee to develop a union list of serials for that state, has requested Network advice and assistance in developing the union list as part of an LSCA-funded statewide project. The Network staff is making a survey of existing union serials data bases that might be a suitable starting point for generating a Montana list. A guiding principle for this project is to develop a serials data base that could easily be merged with (if not based upon) the WLN serials file and with CONSER records. Such a merger would promote development of a multi-state union serials data base for the West.

## SATELLITE COMMUNICATIONS

WICHE is considering membership in the Public Service Satellite Consortium (PSSC). PSSC has its antecedents in the Satellite Technology Demonstration (STD) project of the Federation of Rocky Mountain States that experimented with the ATS-6 satellite in the early 1970s to provide communications (primarily instructional videocasts) to remote areas. PSSC plans to acquire the equipment left in place at the conclusion of the STD project and may procure channels on NASA's recently-launched CTS satellite or other satellites owned by common or specialized communications carriers such as Western Union. John Witherspoon, PSSC President, and two staff members visited WICHE recently and expressed interest in bringing together potential satellite users in the public sector to begin defining their functional requirements for telcommunications services. The Western Network will work closely with this group to explore applications for libraries in the West.

## FAST SERVICE FOR ILL REQUESTS FROM ACM PERIODICAL BANK

In keeping with our goal to encourage evaluation of potential improvements in services, we have arranged a pilot project with the ACM (Associated Colleges of the Midwest) Periodical Bank, located in the Newberry Library, Chicago. During the pilot project period, which runs through June 30, 1976, the Bank will grant free trial associate memberships. Associate memberships normally cost $250/year. Thus, any western library, either directly or through a bibliographic center, may make use of ACM services through June without paying any membership fee.

The ACM Periodical Bank maintains a non-circulating collection of about 2,000 journals selected from all subject areas including popular publications to provide coverage for about 70% of requests. The Newberry Library has a strong collection in the humanities and the American Indian. The Bank also has access to other major libraries in the resource-rich Chicago area such as the John Crerar, North Suburban Public Library System, and the university libraries of Chicago, Northwestern, and Illinois. The Bank fills interlibrary loan requests for journal articles from members within hours, if from its own collection, or within one or more days if from another library's holdings. Requests can be submitted via TWX, telephone, or mail. Total response time including delivery averages 5-6 days. Charges for the service are: $1.00 for the first exposure, and $.20 for each additional exposure (one exposure frequently includes two pages).

The pilot project provides western libraries with an opportunity to explore the advantages of supplementing their own services with fast delivery for periodical articles. Libraries using on-line reference services should find the ACM Periodical Bank especially valuable for meeting patron needs for fast document delivery. Contact Karl Pearson at (303) 492-7730 to obtain your trial membership or to request more information. The Western Network, along with the Bank, will evaluate the results of the project. If there is interest in making this service available in the West, the Western Network will work with the states, networks and bibliographic centers to establish a permanent arrangement.

## COST AND FUNDING STUDIES

Under terms of a grant from the U.S. Office of Education, with support from the WICHE Western Council of State Librarians, the Western Network Project is conducting cost and funding studies to support the development and implementation of a western network, while contributing to research in methodology, modeling and evaluation of library costs and network funding alternatives. Maryann Kevin Brown and Anita McHugh, with assistance from the rest of the Project staff, are performing these studies. The studies have four primary goals:

- To determine representative costs of present library services without network support;
- To estimate future costs of library services at various levels of proposed network support;
- To evaluate and compare the impact of network support levels on costs for library services; and
- To examine and recommend equitable programs of financial support for an interstate bibliographic network in the West.

Cost and interlibrary loan traffic data will be collected by means of a questionnaire survey of a stratified random sample of 100 libraries in the West. The strata for the sample include: state library agencies, large academic libraries, other academic libraries, large public libraries, multi-county "regional" libraries and other public libraries. All libraries which fall into these categories, or strata, have been identified and the sample has been drawn. Letters of invitation to participate are in the mail to the libraries selected; data collection instruments will be mailed in March. Twelve libraries in the sample are being invited to participate in a more extensive data collection effort over a three-week period to obtain detailed costs for the various subtasks involved in major technical processing activity areas.

Data collection will focus on technical processing and interlibrary loan operations likely to be affected by network support. In addition to basic data on collection size and development, volume of activity in acquisitions and cataloging, and volume and types of interlibrary loan transactions, the survey will develop data on cost elements such as direct labor, administrative and supervisory labor, support services, telecommunications, equipment and supplies. The data collection instruments developed for the study will be available for the use of any library wishing to use them as tools in their own evaluation of internal operations. In the future, the Western Network will offer cost analysis services to members on a contractual basis.

Vernon E. Palmour, consultant to the Project, designed the sampling methodology. Ronald Miller, Executive Director of NELINET, is serving as an evaluator for the studies.

Reports on sample design, data collection methodologies, and funding alternatives will be made available as they are ready. Watch for announcements in future issues of the Newsletter.

## BALLOTS TRIAL IN NEVADA

The Nevada State Processing Center is arranging a trial of BALLOTS as a means for obtaining machine-readable cataloging data for the state union catalog. BALLOTS will provide catalog records for Nevada materials on tape for input into Nevada's own catalog file maintenance system. The Center may also utilize WLN programs to create records in MARC format on a batch mode basis.

## WESTERN NETWORK PUBLICATIONS

The following Network documents are available at cost:

A Review of Potential Components for a Western Bibliographic Network (Catalog #28121), February 1976, 70 p. $2.50. Briefly describes many of the organizations and agencies in the western states that might play a role in the Network, describes the computer-based bibliographic utilities and some of the data bases available for Network use, and discusses telecommunications requirements and services available.

Initiating the Design and Development of a Western Interstate Bibliographic Network: First Quarterly Report, July-September 1975, 101 p. $3.00. Includes a short history of the events leading up to submission of the proposal to CLR to design a western interstate bibliographic network. (Only limited supply available.)

Cost and Funding Studies of the Proposed Western Interstate Bibliographic Network: First Quarterly Report, July-September 1975, 114 p. $3.00. Describes the goals and methods for the studies and summarizes initial activities. Includes a preliminary bibliography of library cost literature (138 citations).

Requests for documents should be addressed to Publications Unit, WICHE, P. O. Drawer P, Boulder, Colorado 80302. Please include payment with your request.

## NETWORKS AND BIBLIOGRAPHIC CENTERS MEET

On March 2-3, the Western Network will host a meeting of the directors for other state and multistate networks and bibliographic centers operating in the West: MIDLNET (Midwest Regional Library Network), Amigos Bibliographic Council, CLASS (California Library Authority for Systems and Services), PNBC (Pacific Northwest Bibliographic Center), BCR (Bibliographical Center for Research) and WLN (Washington Library Network). The purpose of the meeting is to explore areas for internetwork cooperation and joint activities.

## LOOKING AHEAD

The next few months will be busy ones for the Network staff. In keeping with Steering Committee recommendations, activities will reflect a dual concern for establishing long-term network directions and goals and for providing products and services for libraries in the immediate future. Activities include:

- Developing a long-term network plan - the Steering Committee requested a multi-year plan of action for the Network.
- Preparing recommendations on the legal, governance, membership and funding structure of a permanent network organization - the Committee recommended establishing, under the WICHE aegis, a Western Network Directorate with its own governing board (similar to the National Center for Higher Education Management Systems).
- Implementing the Network structure approved by the Executive Board and Steering Committee.
- Making contacts with various vendors and other sources for bibliographic products and services - this is in line with Committee recommendations to supply immediate products and services.
- Developing pilot projects, such as those in Montana.
- Meeting with other networks and bibliographic centers operating in the region to identify areas of mutual interest for cooperation.
- Planning for new research and development projects.

## FOR MORE INFORMATION ON THE WESTERN NETWORK

If you would like information on the Western Network project or if you would like to be added to the *Newsletter* mailing list, please write or call Ms. Eleanor Montague, Project Director, Western Network Project, WICHE, P. O. Drawer P, Boulder, Colorado 80301, (303) 492-8150.

WESTERN NETWORK

WICHE - Rm 219
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Boulder, Colorado 80302

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APPENDIX I

FINANCIAL REPORT

SUMMARY OF BUDGET AND EXPENDITURES FOR USOE COST & FUNDING STUDIES G00 7500741

* = money allocated from Core Program ($1,300 Equip Purch. & $2,961 Indirect Costs), not USOE Funds

3/31/76

| ITEM | ALLOCATION | EXPENDITURES TO 12/31/75 | JANUARY EXPENDITURES | FEBRUARY EXPENDITURES | MARCH EXPENDITURES | EXPENDITURES JAN-MARCH | TOTAL EXPENDITURES | BALANCE |
|---|---|---|---|---|---|---|---|---|
| 01 Salaries-Exempt | 21,495 | 6,006.51 | 1,939.42 | 1,949.16 | 1,949.16 | 5,837.74 | 11,844.25 | 9,650.75 |
| 02 Salaries-Non Ex | 3,500 | 77.86 | | | 12.72 | 12.72 | 90.58 | 3,409.42 |
| 04 Contract Hrly | - | - | - | - | - | - | - | - |
| 05 Vacation Ben. | - | - | 597.52 | 162.52 | 138.52 | 898.56 | 898.56 | (898.56) |
| 07 Staff Benefits | 3,594 | 851.81 | 271.52 | 272.88 | 274.66 | 819.06 | 1,670.87 | 1,923.13 |
| 26 Intern Stipend | - | - | - | - | - | - | - | - |
| 27 Consultant Fee | 8,000 | 1,600.00 | 225.00 | | | 225.00 | 1,825.00 | 6,175.00 |
| 28 Subcontracts | 6,200 | - | - | - | - | - | - | 6,200.00 |
| 29 Data Processing | 500 | - | - | - | 2.62 | 2.62 | 2.62 | 497.38 |
| 30 Travel-Staff | 6,017 | 986.21 | 103.63 | 204.45 | 292.83 | 600.91 | 1,587.12 | 4,429.88 |
| 31 Travel-Relocate | - | - | - | - | - | - | - | - |
| 32 Travel-Consult | 2,850 | 461.41 | 104.41 | | | 104.41 | 565.82 | 2,284.18 |
| 33 Travel-Other | | 313.88 | | | | | 313.88 | (313.88) |
| 34 Travel-Trainee | - | - | - | - | - | - | - | - |
| 45 Publications | 182 | 10.52 | 34.27 | 23.32 | 151.99 | 209.58 | 220.10 | (38.10) |
| 53 Office Rent | 900 | 357.43 | 90.41 | 90.41 | 90.20 | 271.02 | 628.45 | 271.55 |
| 54 Phone Equip | 872 | 198.42 | 49.43 | 49.43 | 49.43 | 148.29 | 346.71 | 525.29 |
| 55 Phone Toll | 822 | 74.11 | 24.82 | 104.93 | 34.55 | 164.30 | 238.41 | 583.59 |
| 58 Postage | 300 | 35.92 | 17.34 | 15.68 | 75.32 | 108.34 | 144.26 | 155.74 |
| 60 Meeting Exp | - | 60.07 | | | | | 60.07 | (60.07) |
| 61 Office Supplies | 333 | 173.63 | 133.22 | 55.42 | 105.16 | 293.80 | 467.43 | (134.43) |
| 64 Copying | 400 | 482.01 | 36.64 | 40.65 | 244.03 | 321.32 | 803.33 | (403.33) |
| 65 Other Exp | 1,328 | 564.30 | 32.17 | 133.64 | 240.46 | 406.27 | 970.57 | 357.43 |
| 66 Train Matrls | - | - | - | - | - | - | - | - |
| 77 Equip Purchase * | 1,300 | 132.52 | - | - | - | - | 132.52 | 1,167.48 |
| TOTAL DIRECT COSTS | 58,593 | 12,386.61 | 3,659.80 | 3,102.49 | 3,661.65 | 10,423.94 | 22,810.55 | 35,782.45 |
| 99 Indirect Costs * | 10,803 | 2,341.00 | 876.00 | 772.00 | 772.00 | 2,420.00 | 4,761.00 | 6,042.00 |
| GRANT TOTAL | 69,396 | 14,727.61 | 4,535.80 | 3,874.49 | 4,433.65 | 12,843.94 | 27,571.55 | 41,824.45 |

ATTACHMENT TO FINANCIAL REPORT FOR USOE GOO 7500741, PROJECT NO. 475AH50102

JANUARY 1, 1976 to MARCH 31, 1976

| A. Salaries, Wages, and Employee Benefits* | Third Quarter |
|---|---|
| Ms. Maryann Duggan, C&F Project Director (10% F.T.E. on project at annual salary of $25,404. Work started on project 7/1/75.) WICHE Line Item 01 | $ 634.98 |
| Maryann K. Brown, C&F Cost Investigator (100% F.T.E. on project at annual salary of $16,350. Work on project began 10/1/75.) WICHE Line Item 01 | 4,087.50 |
| Anita McHugh, C&F Research Assistant ($4.62/hr., approximately 20 hrs/week. Work on project began 11/10/75.) WICHE Line Item 01 | 1,125.00 |
| Clerical help (part-time) | 12.72 |
| Employee Benefits | 1,707.88 |
| Total Salaries, Wages, & Employee Benefits | 7,568.08 |

| B. Consultant Fees | | | |
|---|---|---|---|
| V. E. Palmour | Review of data collection forms and sample design (11/5,12,18,20,21) per contract | | $ 225.00 |
| | Total Consultant Fees | | $ 225.00 |

| C. Travel* | | | Transp. | Living | Total |
|---|---|---|---|---|---|
| 11/17-19 | Eleanor Montague Bldr.-Reno | To meet with Joe Anderson, Chairman of Western Council to review role as Project Director - 75% Core, 25% USOE | 52.20 | 52.21 | 104.41 |
| 11/21-25 | Maryann Duggan Bldr.-Lexington | Conduct Western Council Caucus (at COSLA meeting) - 70% Core, 30% USOE | 100.00 | 25.00 | 125.00 |
| 1/17-24 | Maryann Duggan Bldr.-Chicago | Attend ALA Winter Meeting - 50% Core, 25% CLR, 25% USOE | 52.70 | 61.98 | 114.68 |
| 2/2-3 | Maryann Duggan Boulder-Boise | Conduct first meeting of Western Bibliographic Network Steering Committee - 25% Core, 50% CLR, 25% USOE | 50.50 | 39.27 | 89.77 |
| 2/17-19 | Eleanor Montague Bldr.-Seattle | Attend PNBC Board Meeting - 25% CLR, 75% USOE | 196.21 | 39.58 | 235.79 |
| 2/24 | Eleanor Montague Bldr.-Pierre | Discuss with Vince Anderson, State Librarian, in-depth study of state libraries and brief him on Steering Committee meeting in Boise, which he was unable to attend - 50% CLR, 50% C&F | | 57.04 | 57.04 |
| | | Refund (flight change) | (21.37) | | (21.37) |
| | | Total Travel | 430.24* | 275.08 | 705.32 |

* In a memo to Paul Janaske from Eleanor A. Montague (attached) justification and request for retroactive personnel allocation was made to account for time spent by Eleanor Montague and Louise Martin during the quarter. Eleanor Montague's travel was accurately charged.

P. O. Drawer P, Boulder, Colorado 80302 • (303) 492-8150
WILCO - Western Interstate Library Coordinating Organization

WICHE
Western Interstate Commission for Higher Education
an equal opportunity employer

May 13, 1976

TO: Paul Janaske, Chief, Library Research & Demonstration Branch, Office of Libraries and Learning Resources, USOE

FR: Eleanor A. Montague, Program Director

RE: MINOR ADJUSTMENTS TO USOE GRANT G00 7500741, Cost and Funding Studies

In a separate correspondence, Maryann Duggan requested (1) a transfer of Principal Investigator responsibilities from Maryann Duggan to Eleanor Montague and (2) a 90-day no-cost extension.

The staff has just finished an exhaustive review of current status and future tasks, and is comfortable with the fact that the project will be completed within the 90 days and at no additional cost.

We do want to make adjustments in the personnel salary allocations for the grant. For the period 1/1/76 through 5/31/76, no charges were made against the grant for Eleanor Montague, Project Director, and Louise Martin, Secretary, even though time was spent on the project. We propose to make a retrospective adjustment for the period 1/1/76 through 5/31/76 to:

| | |
|---|---|
| Eleanor Montague | 10% |
| Louise Martin | 10% |

We propose to carry this allocation forward throughout the duration of the grant.

We project, through August, a sum of $154 left to finish up the final report.

Thank you.



sm
enc.
cc: WICHE Staff: Kevin Bunnell, Don Morrow, John Staley

## APPENDIX J

## RECORD OF DISTRIBUTION

## RECORD OF DISTRIBUTION OF THIS REPORT

Total Number of Copies Printed: 35

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Letters have been sent to the following people asking them if they want to receive copies. This is a departure from previous procedures.

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Roderick G. Swartz, Washington
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WILCO Western Council -

Members not on Steering Committee:

Richard B. Engen
Marguerite B. Cooley
Ethel Crockett
Alma Jacobs
Eloise Ebert

Other Western State Librarians (6)

Richard J. Wolfert, North Dakota
Jane T. Geske, Nebraska
Ernestine Gilliland, Kansas
James Buck, Colorado
May Chun, Hawaii
Russell L. Davis, Utah

Other Western ARL Library Directors (15)

H. William Axford, University of Oregon
Page Ackerman, University of California, Los Angeles
LeMoyne Anderson, Colorado State University
Donald Davidson, University of California, Santa Barbara
Richard M. Dougherty, University of California, Berkeley
John R. Haak, University of California, San Diego
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Leo Cabell, University of Colorado
Donald Nelson, Brigham Young University
Marion Milczewski, University of Washington
G. Donald Smith, Washington State University
James Ranz, University of Kansas

Western Network State Design Team Chairpersons (13)

Others:

Alphonse Trezza, Executive Director, NCLIS
Henriette D. Avram, Chief, MARC Development Office, Library of Congress
Paul Janaske, USOE Program Officer
Lura Currier, Director, Pacific Northwest Bibliographic Center
Donald Simpson, Director, Bibliographical Center for Research
Sheila Thornton, California State Library Union Catalog
Mary Jane Reed, Washington Library Network
Hank Epstein, BALLOTS
T. John Metz, Executive Director, MIDLNET
Oscar Miller, Head Law Librarian, University of Colorado
Kevin Bunnell, Director, Division of General Regional Programs (WICHE)

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